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ABSTRACT

Of the 53 Association of Research Libraries (ARL) member institutions that responded to a 1980 Systems and Procedures Exchange Center (SPEC) call for Anglo American Cataloging Rules Second Edition (AACR 2) implementation studies, 37 had looked at the impact of the new code on library operations, while 16 indicated they had not done a formal study that could be shared. The concise summary that introduces the kit contains a brief description of the survey and an assessment of study methodologies by William Gray Potter of the University of Illinois Library. The kit comprises nine implementation studies and a list of additional studies and reports for loan to ARL members: (1) "A Five-Year Projection of the Impact of the Rule for Form of Heading in AACR 2 upon Selected Academic Library Catalogs" (Arlene Taylor Dowell); (2) "AACR 2 and the Wilson Library Card Catalog: What the Problem Is, How the Catalog Department Will Solve It" (University of North Carolina at Chapel Hill); (3) "Technical Services Internal Planning Documents" (Yale University); (4) "AACR 2 Impact--Statistical Study" (University of Minnesota); (5) "Abstract," "Summary of Recommendations," and "Bibliography" from "Between a Rock and a Hard Place: Report of the WSUL Working Group on the Post-1980 Catalogs" (Wayne State University); (6) "Appendix C, AACR 2 Subcommittee Report on the Impact of AACR 2 on Morris Library's Catalogs and Cataloging" (Southern Illinois University); (7) "An Examination of LC Lists of Revised Headings for 1981" (Brown University); (8) "Appendixes A, B, and C: Estimate of the Cost of Three Ways of Integrating the AACR II Changes into the Existing Catalogs; AACR II Time Studies; Calculations Used to Determine Staff Required to Change Existing Cards to Conform to AACR 2" (University of Washington); (9) "How to Determine the Number of Unique Headings per Title" (Association of Research Libraries); and (10) a list of additional documents submitted by ARL members in response to the survey and available for loan to ARL members and SPEC subscribers. (THC)

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AACR 2

Implementation Studies

kit 68

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AACR 2 IMPLEMENTATION STUDIES IN ARL LIBRARIES

The impending implementation of AACR 2 and the abandonment of superimposition by the Library of Congress continues to be a matter of concern to ARL members, as they examine a number of possible effects of the new cataloging code upon operations and bibliographic access in a large and complex academic library. While the adoption of a new cataloging code historically has been a controversial issue, with some parts of the library world requesting postponement or modification to minimize its impact, in recent months attention has turned to preparing for the implementation of AACR 2. In this regard, libraries are studying such areas as cataloging and technical operations, budget, staffing patterns, staff training needs, and user services and instruction programs. Of the 53 ARL libraries that responded to an August 1980 SPEC call for AACR 2 implementation studies, 37 have looked at the impact of the new code on library operations, while 16 indicated they have not done a formal study that can be shared.

This flyer and kit -- a collaborative effort of the ARL Task Force on Bibliographic Control, the ARL Executive Office, and the SPEC Center of OMS -- focuses on studies that examine the effects of AACR 2 and the abandonment of superimposition on catalog management practices and workload, coupled with the following assessment of study methodologies by William Gray Potter of the University of Illinois Library, who has conducted research in this area.

QUANTITATIVE MEASURES. The available published and unpublished studies of the impact of AACR 2 on cataloging are marked by a variety of methodologies, since each study tends to be concerned with the catalog and operations of one library and thus is colored by the local situation. Taken as a group, however, the various studies form a composite picture in which can be seen some solutions to the many questions about the quantitative impact of AACR 2. In examining the studies, one can discern a number of different measures, as well as some cautions and concerns related to their use:

Rate of Difference; that is, what percentage of headings will be formulated differently under AACR 2. The Library of Congress has estimated the rate of difference to be between 11% and 14% and most impact studies accept this figure, although some range as high as 20%. The technique for deriving this figure involves taking a sample of headings and determining the form of each heading under AACR 2 and under previous practice. Care must be taken in drawing these samples to insure that the headings chosen are representative. For example, taking a single week of cataloging to stand for all cataloging done in a year invariably leads to errors.

Rate of Conflict; that is, what proportion of those headings that are formulated differently under AACR 2 will actually be in conflict with established headings and thus will require reconcilation. The essential point here is what proportion of the headings produced over a given period of time will be new to the catalog. The report prepared by King Research for the ARL Library Catalog Cost Model Project contains a formula for determining how many new headings a library adds to its catalog over a period of time.

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Other studies have supported King's findings -- that between one-third and one-half of all headings for titles cataloged in a year will be new to the catalog. The assumption is that this proportion of headings that are new to the catalog will be the same for those formulated differently under AACR 2. Several studies support this assumption.

Frequency of Established Headings; that is, the number of times an established heading appears in the catalog. Obviously, the fewer times a heading that has been determined to be different under AACR 2 already appears in the catalog, the less expensive it will be to resolve the conflict. Reliable figures can be drawn by taking a sample of headings that are in conflict and determining the number of times each appears in the catalog. The most dependable studies to date show that one-third appear five times or less and two-thirds appear more than five times. Caution should be exercised in drawing samples to determine the frequency of established headings, especially if these samples are drawn directly from an existing catalog. Card, book, and COM catalogs are linear files in which prolific authors occupy more space than do authors who produce only a few titles. Thus, it is easy to enter a catalog at various points at random and end up with a disproportionate number of prolific authors that will bias the sample.

Rate of Minor Conflicts; that is, the proportion of headings that are in conflict because of AACR 2 and yet can be interfiled. Several studies have found that headings that are in conflict under a strict application of AACR 2 often can be interfiled easily because the changes involved are relatively minor, for example changes in punctuation, addition or subtraction of a qualifier, and minor alterations in spelling. It has been estimated that between 45% and 65% of all conflicts can be interfiled with minimal effect on the user of the catalog.

IMPLEMENTATION ISSUES. Determining the impact of AACR 2 and the abandonment of superimposition in quantitative terms leads to more complex concerns related to coping with this impact. Ideally, for ease and conformity of use, every heading in the catalog would be examined and the 11% to 14% that would be different under AACR 2 would be changed. However, few libraries can afford to do this, and rational decisions must be made based upon institutional needs and priorities and derived from quantitative measures. These decisions center around developing strategies for the resolution of conflicts and discrepencies brought about by the new code and evaluating the implications of these strategies in terms of costs, staffing and user services. Such decisions depend heavily upon the local situation. For example, several large libraries have decided to close the card catalog simply because it has become too large and too complex to maintain adequately. In these cases, AACR 2, the abandonment of superimposition, and the adoption of new filing rules provide a logical starting point for a new catalog. Other libraries have smaller, more manageable card catalogs that can more easily absorb the impact of AACR 2. Additional considerations which must be weighed include the number of trained staff available to implement the new code, the extent and progress of plans for an alternative form for the catalog, the availability and quality of user instruction, the expectations of the users, and the opinions and support of library and university administration.

The SPEC Kit on AACR 2 Implementation Studies in ARL Libraries (#68, October 1980. 117 pages) contains nine implementation studies and a list of additional studies and reports for loan to members. This kit is available to ARL members and SPEC subscribers for $7.50 and to others for $15.00 prepaid, plus a $2.00 per order handling fee and an additional $3.00 per order if an invoice is required, from SPEC, ARL/Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C., 20036.

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AACR 2 IMPLEMENTATION STUDIES IN ARL LIBRARIES

SPEC Kit #68 OCTOBER 1980

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A FIVE-YEAR PROJECTION OF THE IMPACT OF THE RULES FOR FORM OF HEADING IN AACR 2 UPON SELECTED ACADEMIC LIBRARY CATALOGS

by Arlene Taylor Dowell

On the basis of my research, I have come to the following conclusions concerning the implementation of AACR 2:

1. In the libraries I studied, it will be manageable to integrate AACR 2 headings into existing catalogs.
   a. The cost of such integration will not be exhorbitant.
   b. The percentages of headings that will conflict with existing headings will be quite low, and when copy is accepted as it comes without changing headings on pre-AACR 2 copy to AACR 2 form, the percentages will be even lower.
   c. If <u>all</u> headings are constructed in AACR 2 form, conflict will drop <u>dramatically</u> after 1981. If copy is taken as it comes, conflict, even though already quite low in the first year, will drop steadily thereafter, except in the small library where it will peak in 1983.
2. Integration can be accomplished so that AACR 2 and abandonment of superimposition will cause the user to have to look in two places for less than 6 tenths of a percent of the unique headings existing in the catalog 5 years after implementation of AACR 2, in contrast to the user having to look in two places for almost <u>all</u> headings if the catalog is closed.

I would like now to explain how I arrived at these conclusions, which are so completely contradictory to the opinions that have been presented in much of the recent literature.

For this study I chose academic libraries. However, by breaking down the data by type of heading, type of material, age of material, and place of publication, I believe some conclusions can also be drawn about the cataloging likely to be done in school, public, and special libraries. The libraries

001

in my study were:

Small: Greensboro College which has 95,000 vols. and adds approximately 2000 vols. or 1,700 titles per year.

Medium: University of North Carolina at Greensboro which has 670,000 vols. and adds approximately 30,000 vols. or 21,000 titles per year.

Large: University of North Carolina at Chapel Hill which has 2,500,000 vols. and adds approximately 120,000 vols. or 46,000 titles per year.

In each library, workslips are kept for everything cataloged. Using these workslips, I took a systematic sample from one calendar year's cataloging. The sizes of the samples were: small - 590 records; medium - 900 records; large - 926 records. The workslips were used to pull a unit record from the shelflist for each record in the sample. Every heading on these records was classified as a personal name, corporate name, geographic name, uniform title, series, or not controlled by AACR 2. The category "not controlled by AACR 2" was made up mostly of topical subject headings. The headings in this category were dropped. The remaining headings numbered as follows: small - 1035; medium - 1824; large - 1917. Ninety-five percent of samples of these sizes chosen in this manner should result in a sampling error of less than plus or minus 1.7%. The proportions of these headings that were personal, corporate, geographic, uniform titles, or series are shown ~~on this transparency and~~ on the handout in Table 1. Note that in all libraries, personal names account for well over a majority of headings--2/3 in the medium and large, 3/4 in the small. This should also be true for public and school libraries, although not necessarily for special libraries. Also on this transparency is given the average number of headings per record in each library. This figure can be used by other libraries to estimate the

number of headings to be dealt with in a year. That is, doubling the number of titles cataloged per year will give an approximate number of AACR 2-controlled headings per year.

Every heading was then examined to determine whether it would be established differently according to the Library of Congress' implementation of AACR 2. This included searching, where necessary, to determine the most commonly found form of a name, the form used 2/3 of the time, the form found in reference sources, and/or corroboration of my judgment of "famous." In addition to using sources available in my geographic area, I spent three weeks at the Library of Congress, using their automated authority file and official catalog and consulting with Paul Winkler and others about the latest policy decisions. The results of the examination are shown ~~on this transparency and~~ in Table 1 of the handout. It should be emphasized that these percentages reflect abandonment of superimposition as well as adoption of AACR 2. I did not attempt to distinguish between headings that had been superimposed and AACR 1 headings that would now be different. The higher percentage of differences in personal names in the small library as compared to the medium and large libraries seemed to me to result from a larger proportion of famous names and names that appeared on U.S. imprints in the small library. Note also the rise in differences for geographic names from small to large. This is indicative of an increase in materials about specific geographic areas in the larger libraries. The small library titles were mostly about whole countries or states--names not changed under AACR 2. The medium library had more works about smaller entities such as cities, that must be qualified; while the large library had not only cities, but very small places to contend with.

One can see that the difference rate I found is higher than the 11-14% predicted by the Library of Congress. However, if a "different" heading is

C 3

going into the catalog for the first time, it is no problem--no cards have to be changed or see also cross references made. Therefore, the headings determined to be different when AACR 2 was applied were then looked up in the appropriate catalog to find out how many had entries for that heading already in the catalog prior to entry of the one from the sample. The headings for which earlier entries were found in the catalog are called "conflicts." The results of this search are shown ~~on this transparency and~~ in Table 2 of the handout. The percentages shown for each type of heading represent the proportion of all headings of that type that were found to be in conflict. It is easy to confirm visually what the Chi square test indicated--that there was no statistically significant variation in the difference rates of the three libraries. However, the overall conflict rates increase much more from small library to large. A Chi square test of significance indicated that while there was no significant variation of the conflict rate between the small and medium libraries, the conflict rate for the large library was so much higher than the other two that the variation was statistically significant at less than the .001 level.

~~This next transparency (also given in~~ Table 2 of the handout~~)~~ shows the proportion <u>of all conflicts</u> in each library that is represented by each particular type of heading. It can be seen that the category contributing the most conflicts will be personal names--well over half in the small library, although not quite half in the other two. Corporate names account for the next highest proportion, followed by series, geographic names, and uniform titles, in that order. This pattern was followed in all three libraries.

It can be seen from the data presented thus far that a large proportion of the headings to be dealt with are personal names and that personal names result in a low heading conflict rate. Libraries with an even higher proportion of personal names, such as most small and medium public libraries

and school libraries, should be able to look forward to an even lower conflict rate. On the other hand, some special libraries that are likely to have proportionately more corporate names may expect a higher conflict rate.

Other means of predicting more or fewer conflicts were found by analysing the data by place of publication, date of publication, type of material, and type of cataloging. Although time does not permit my presentation of this analysis here, I will note three of the trends I observed: Foreign imprints accounted proportionately for more of the conflicts than they represented in the sample. Serials accounted for more conflicts proportionately than did monographs. And old LC copy, cataloged before AACR 1 and MARC accounted for more conflicts proportionately than either current LC copy or original cataloging.

A library that uses LC copy may also take into consideration that during the first year of implementation of AACR 2 (1981), only copy for records with 1981 imprints is likely to be AACR 2 copy; and because LC will not begin creating AACR 2 records until January 2, 1981, such records will not be available for several months. Of course, if OCLC actually changes some headings on some records through use of authority tapes and computer programs, more copy with AACR 2 headings will arrive sooner in OCLC libraries. But assume for a moment that OCLC is not involved. I'll come back to that shortly. The results of analysis of my sample records by imprint date are shown on this transparency. #1 (follows p. 11) It can be seen that in 1981 the libraries sampled can expect to find respectively only about 10%, 20%, and 13% of their records will have AACR 2 copy available. During the second year, both 1981 and 1982 imprints can be expected to have AACR 2 copy. In the sample, it was determined that 28.3%, 49.7%, and 42.5% had imprints from that year and the preceding year. Each year the cumulative total increases.

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If libraries take copy as it comes and wait for AACR 2 headings to trigger changes in the catalog, then applying the conflict rates of 7.4%, 8.7%, and 12.8% given earlier to the proportion of records expected to have AACR 2 headings would give the expected conflict rates shown on this transparency. #2 That is, it would look, on first thought, as if the conflict rate would climb a little each year. However, it is not quite this simple. For one thing, few libraries catalog only with LC copy. A certain amount of original and cooperative (i.e., member input) copy will need to be dealt with. Also, by the second year, a certain number of the conflicts will have already been handled and resolved the preceding year. Taking these factors into account involved a rather complicated model. First, for each conflict, I determined whether that heading had last been handled in the last five years and if so, in which year. Then, using a grid like the one on this transparency, #3 with imprint date on one axis and date last handled on the other, I tallied the number of conflicts that had been handled in the preceding five years. In the small library I could not separate LC copy from original. In the other two libraries, two grids were used for each library--one for original and member copy, and the other for LC copy.

The five-year projections were then made by considering the sample to represent each of Year 1 through Year 5 in turn. In each case, I counted the number of expected conflicts and subtracted those that had been handled in a year hypothesized to have been an AACR 2 year. If the libraries were to choose to make headings conform to AACR 2 on all copy encountered after January 1, 1981, the conflict rates for the first year would be those given earlier, as shown ~~on this transparency and~~ in Table 3 of the handout. But the rate for the second year in each library is considerably lower--dramatically so in the medium and large libraries--because so many of the headings encountered in the second year would also have been handled the year before,

and the conflict would have been resolved then. The rates continue to fall steadily, though less dramatically for years 3 through 5.

In the libraries I studied, however, the plan was not to change headings on all copy, but to do original copy with AACR 2 headings while accepting LC copy as it comes. The resulting five-year projections of conflict rates are shown ~~on this transparency and~~ in Table 4 of the handout. In the small library where almost all cataloging is with copy of some sort, the peak is in Year 3 because proportionately fewer headings appeared in AACR 2 form the first year. In the medium and large libraries, the peak is in Year 1, but much lower than when all copy is changed; and the drop in Year 2 is less dramatic.

I believe the effect of OCLC's changing headings in their data base, as they have said they will do, would be to raise these percentages by two or three percent in Year 1. Percentages for following years would be affected somewhat less because slight increases in AACR 2 forms of headings would be offset by more conflicts having been resolved in Year 1. Headings now found in the lower and right-hand portions of the grid (see grid) would be moved up and to the left, thus becoming catalog conflicts sooner. It seems that OCLC will not be doing a favor for those libraries that would like to absorb the changes gradually. In any case, only if every heading in the OCLC data base were changed to AACR 2 form, would the percentages be as high as in the projections given for rates that would occur if the libraries changed all copy to AACR 2 form (Table 3), and that case is not in their plan. They have projected that 85% are already in AACR 2 form, and an additional 8% will be changed by Jan. 1981, leaving 7% still not in AACR 2 form.

I was also interested in the kinds of differences represented by those headings that turned out to be conflicts. I found that there seemed to be seven major categories plus the always-fallen-back-on category of "other."

C 7

First, is "punctuation differences only." It can be illustrated by "Anne of France," and "Anne, of France"; also by "Albany, N.Y." and "Albany (N.Y.)." The second is "Qualifier added, subtracted, or changed." This category can be illustrated by "Chicago" and "Chicago (Ill.)." Third is "Abbreviation spelled out or vice versa." This is illustrated by "Durham Co., N.C." and "Durham County (N.C.)." Fourth is "Forename changed to initial or vice versa, or forename dropped." Illustrations are the change from "Chaloner, William Henry" to "Chaloner, W.H. (William Henry)," and the change from "Darwin, Charles Robert" to "Darwin, Charles." Fifth is "Minor change in spelling," such as the change from "Goldmann, Nachum" to "Goldmann, Nahum." When such a change was in the first filing word, however, it was not counted as a minor change in spelling. It went instead into the sixth group, "First word different," illustrated here by changing "Holy Spirit Association for the Unification of World Christianity" to "Unification Church." The seventh category involves headings that will have the period after the entry term removed. This is not simply a punctuation difference, because in many libraries it results in considerable filing difference. An example is the change from "North Carolina. Agricultural Experiment Station, Raleigh" to "North Carolina Agricultural Experiment Station." Two examples of headings I placed in the "Other" group are "Pasadena, Calif. Art Museum" changed to "Pasadena Art Museum" and "Staal, Marguerite Jeanne (Cordier de Launay) baronne de" changed to "Staal, Madame de."

The proportions of the kinds of conflict encountered are shown ~~on this transparency and~~ in Table 5 of the handout. In my opinion, the first five categories can be interfiled easily and reasonably in a manual catalog. The headings classified as "Other" are not easily interfiled, nor are those where the first word is different. Interfiling those involving a period after the entry term depends on the filing rules used. The total proportions of con-

flict that fall into the first five categories in the three libraries are 68.9%, 47.2%, and 47.7%. If this interfiling is done, the conflict rates given earlier would be reduced by over two thirds in the small library and by nearly one half in the other two.

The last essential kind of information needed for decision-making is the number of catalog entries that would have to be changed and the number of split files that would have to be created in order to accomodate the conflicts encountered. In order to determine this, I first assumed the libraries could interfile the headings identified earlier as interfileable. I then tallied the remainder to determine how many headings had already only one entry in the catalog, how many had two entries, how many had three, etc. I then arbitrarily decided upon dividing lines of "under 6," "under 11," "under 16," and "under 21." "Under 6" means that if there are fewer than 6 entries already in the catalog for a heading, those entries will be changed to the new form, but if there are 6 or more, split files will be created with see also references connecting them; "under 11" means 10 or fewer entries would be changed, but 11 or more would mean creating a split file; and so on. I counted the number of conflicts that would result in changed cards using each dividing line, and converted these numbers to percentage of remaining conflicts after interfiling. I also computed the average number of cards per heading that would have to be changed. These averages are shown ~~on this transparency~~ and in Table 6 of the handout. I included in this count only the cards on which the conflict in question was an access point. The additional cards for a set for which the heading was main entry were not included. *I did find that roughly 1/6 of these would be main entries,* but it seems to me that changing every card of a set whose main entry is in a different form should not usually be necessary if adequate cross references are made. With the computations described, I was able to compute the number of cards to be changed per month and the number

of split files that would be created per month under various circumstances. The figures ~~in this transparency and~~ in Table 6 of the handout are based on a 1.8% conflict rate in the small library (the peak percentage when copy is accepted as it comes), 2.9% in the medium, and 3.6% in the large (the peak percentage in each case for accepting LC copy as it comes and constructing headings on original and member copy in AACR 2 form). If the libraries in my study choose "under 6" as a dividing line, the small library would change 2.3 cards and create one split file per month in the peak year; the medium library would change 34 cards and create 39 split files per month; and the large library would change 118 cards and create 100 split files per month.

This information shows that the technical processing is manageable. But how will creation of these split files affect the user? To help determine this, I computed the cumulative number of split files that would be created by the end of five years in each library. These figures are shown ~~on this transparency and~~ in Table 7 of the handout. Computations are given for each of four dividing lines: i.e., creating split files if the number of entries for a conflict is over 5, over 10, over 15, or over 20. As on the preceding transparency, these figures are based on the peak conflict rates given in Table 4. 4,962 split files in the large library may sound like a lot, but when one considers that the large library catalog will have some 891,992 unique headings in five more years, it can be seen that 4,962 is only 56 hundredths of one percent of the total number of headings. Compared with the potential for having to search for every heading in two places if the catalog is closed, .56% does not seem too unreasonable.

I hope that this presentation of my findings has enabled you to see how I have come to the conclusions that:

1. In the libraries I studied, it will be manageable to integrate AACR 2 headings into existing catalogs.

a. The cost of such integration will not be exhorbitant.

b. The percentages of headings that will conflict with existing headings will be quite low, and when copy is accepted as it comes without changing headings on pre-AACR 2 copy to AACR 2 form, the percentages will be even lower.

c. If <u>all</u> headings are constructed in AACR 2 form, conflict will drop <u>dramatically</u> after 1981. If copy is taken as it comes, conflict, even though already quite low in the first year, will drop steadily thereafter, except in the small library where it will peak in 1983.

2. Integration can be accomplished so that AACR 2 and abandonment of superimposition will cause the user to have to look in two places for less than 6 tenths of a percent of the unique headings existing in the catalog 5 years after implementation of AACR 2, in contrast to the user having to look in two places for almost <u>all</u> headings if the catalog is closed.

Cumulative % of Samples by Year of Imprint

#1 C12

Year	Small	Medium	Large
1978 (79)	9.5%	20.4%	12.5%
1977 (78)	28.3%	49.7%	42.5%
1976 (77)	40.5%	60.7%	59.7%
1975 (76)	50.2%	68.0%	67.9%
1974 (75)	55.6%	74.3%	73.3%
1973 (74) or before	100.0%	100.0%	100.0%

Conflict Rates Expected on Copy the 1st 5 Years

#2

Year	Small	Medium	Large
1st	.7%	1.8%	1.6%
2nd	2.1%	4.3%	5.4%
3rd	3.0%	5.2%	7.6%
4th	3.7%	5.8%	8.6%
5th	4.1%	6.4%	9.3%

Projection Grid

#3 C14

Imprint Date ↓	Date last handled: 1977	1976	1975	1974	1973 or before	
1978	𝍸 𝍸 𝍸 I	IIII	IIII	II	𝍸 III	34
1977	𝍸 𝍸 𝍸 𝍸 II	𝍸 II	II	I	𝍸 III	40
1976	𝍸	III	I		𝍸	14
1975	𝍸 II				I	8
1974	𝍸	II			II	9
1973 or before	𝍸 𝍸 𝍸 III	II	I	I	𝍸 𝍸 III	35

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IMPACT OF AACR 2 ON LOCAL CATALOGS

prepared by Arlene Taylor Dowell
updated September 1980

Table 1. Proportion of types of heading in each library; percentages of DIFFERENCES in form of heading when AACR 2 is applied to current cataloging.

	Small		Medium		Large	
	Proportion	Differences	Proportion	Differences	Proportion	Differences
Personal	75.3%	12.4%	66.6%	9.0%	67.2%	10.4%
Corporate	9.7%	31.7%	12.3%	39.1%	10.6%	38.9%
Geographic	7.7%	13.8%	5.7%	24.0%	9.9%	33.3%
Uniform title	2.6%	14.8%	2.4%	37.2%	2.5%	22.9%
Series	4.6%	31.3%	13.0%	33.8%	9.8%	31.9%
Total	100.0%	15.3%	100.0%	17.4%	100.0%	18.2%

Table 2. CONFLICTS with entries ALREADY IN CATALOG when AACR 2 is applied to current cataloging.

	Small		Medium		Large	
	Proportion of all headings of that type	Proportion of all conflicts	Proportion of all headings of that type	Proportion of all conflicts	Proportion of all headings of that type	Proportion of all conflicts
Personal	6.9%	70.1%	5.2%	39.6%	8.5%	44.5%
Corporate	13.9%	18.2%	19.1%	27.0%	24.1%	20.0%
Geographic	5.0%	5.2%	9.6%	6.3%	19.6%	15.1%
Uniform titles	0	0	9.3%	2.5%	10.4%	2.0%
Series	10.4%	6.5%	16.5%	24.5%	23.9%	18.4%
Total	7.4%	100.0%	8.7%	100.0%	12.8%	100.0%

Table 3. Five year projections when all headings are made to conform with AACR 2.

	Small	Medium	Large
Year 1	7.4%	8.7%	12.8%
Year 2	5.6%	4.1%	6.0%
Year 3	4.6%	3.1%	4.8%
Year 4	3.6%	2.6%	3.8%
Year 5	3.2%	2.1%	3.1%

Table 4. Five year projections when LC copy is accepted as it comes and original cataloging has headings made to conform with AACR 2.

	Small	Medium	Large
Year 1	.5%	2.9%	3.6%
Year 2	1.3%	2.5%	3.3%
Year 3	1.8%	2.1%	3.2%
Year 4	1.3%	1.8%	2.6%
Year 5	1.3%	1.5%	2.2%

Table 5. Kinds of CONFLICT encountered.

	Small	Medium	Large
Punctuation differences only	2.6%	5.7%	6.9%
Qualifier added, subtracted, changed	11.7%	13.8%	18.8%
Abbreviation spelled out or vice versa	0	1.3%	2.0%
Forename changed to initial or vice versa, or forename dropped	53.3%	23.9%	19.2%
Minor change in spelling	1.3%	2.5%	.8%
First word different	26.0%	41.5%	41.6%
Period after entry term removed	1.3%	2.5%	.4%
Other	3.9%	8.8%	10.2%
→ Can be interfiled easily in manual catalog	68.9%	47.2%	47.7%

Table 6. Number of cards in catalog to be changed and number of split files to be made after interfiling interfileable conflicts during year of highest conflict (1st year in medium and large libraries; 3rd year in small library).

	Small			Medium			Large		
	ave. # cards per heading	cards per month	split files per month	ave. # cards per heading	cards per month	split files per month	ave. # cards per heading	cards per month	split files per month
under 6	2.3	2.3	1.0	2.5	34	39	2.7	118	100
under 11	3.4	4.0	.8	4.0	78	34	4.4	295	76
under 16	4.4	5.9	.7	4.9	107	31	5.0	364	71
under 21	6.5	10.3	.4	6.8	174	28	6.8	571	59

Table 7. Number of split files after 5 years.

	Small		Medium		Large	
	# of split files	% of catalog headings	# of split files	% of catalog headings	# of split files	% of catalog headings
over 5	41	.04%	1658	.41%	4962	.56%
over 10	34	.03%	1459	.36%	3787	.42%
over 15	27	.03%	1352	.33%	3516	.39%
over 20	17	.02%	1191	.29%	2949	.33%
# unique headings	98,437		405,668		891,992	

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AACR 2 AND THE WILSON LIBRARY CARD CATALOG:

WHAT THE PROBLEM IS

HOW THE CATALOG DEPARTMENT WILL SOLVE IT

A report by the

TASK FORCE ON BIBLIOGRAPHIC PLANNING

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PRELIMINARY DRAFT

David Gleim
March 19, 1980

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Introduction

This document is a report by the Task Force on Bibliographic Planning about the impact of the Anglo-American Cataloging Rules, second edition, on the public card catalog of Wilson Library. We have divided our report into two parts. Part I is an overview of the problems caused by the new cataloging code and a brief justification of the solution recommended by the Task Force. Part I is essentially a restatement of the AACR 2 program we presented to the library staff in February 1979. We believe this section will be most interesting and useful to the reader who has little working experience with cataloging codes and catalog management. Part II of our report is more technical. Included in this section are a discussion of an AACR 2 impact study of shelflist cards and a detailed analysis of catalog management and authority control procedures recommended by the Task Force.

We do not pretend that this document is in any sense a definitive or final report on AACR 2. With only nine months remaining until "Day 1," fundamental questions about the new code still remain unanswered. What will be the final policy of LC concerning entry of serials with non-distinctive titles? What authority control and tagging procedures will OCLC demand from its members? The Task Force can only speculate about these crucial matters.

The Task Force recognizes the slant of its report towards the special concerns of the technical services division of Wilson Library. We do not apologize for this bias. Given the complexity of the problem and the limitations of our expertise, we could produce no other kind of report. The Task Force does realize that AACR 2 will affect the services of the departmental and public service librarians in many ways unknown to us. Our minds (like our catalog) will remain open. We welcome, indeed, urge questions, criticisms, and suggestions from all librarians and library users.

An estimate of AACR 2 heading conflict for the card catalog in Wilson Library

In the fall of 1978 the Task Force on Bibliographic Planning made a recommendation not to close the card catalog in Wilson Library when the Catalog Department adopted AACR 2. As we attempted to make clear on the preceding pages, our decision not to close was based upon a general understanding of both the authority control procedures for our Catalog Department and the disadvantages of two card catalogs for Wilson Library. Our decision was supported by AACR 2 impact studies conducted by the Library of Congress and the Eisenhower Library at Johns Hopkins University. After combining the results of these studies with what we knew about AACR 2, the Task Force made these assumptions: 1) that we would find an AACR 2 conflict rate in our catalog of between 10 and 15%; 2) that we could change only a very small number of conflicting headings to AACR 2 form, due to restrictions on work load for Catalog Management and limited space in our catalog for shifting cards; and, 3) that a significant number of conflicting headings could be interfiled with only minor disruptions to the filing sequence.

To test the validity of these assumptions, six monographic catalogers conducted an AACR 2 impact study during the spring and summer of 1979. The participants analyzed 916 shelflists produced by the Catalog Department during fiscal year 1977/78. Each relevant heading on each shelf list was re-established following AACR 2 rules for choice and form of entry, LC's choice of rule options, LC's rule interpretations, and LC's policy of "tolerable" headings. The participants answered these questions for each heading:

1) Does the heading on the shelflist conflict with its AACR 2 form? (Any difference, no matter how minor, was considered a conflict.)

2) If the heading does conflict, are there additional cards with that heading in the catalog?

3) If there are, then on how many cards does the heading appear as a main entry? As an added entry? How many cards make up the card set when the heading is a main entry? What is the card count for Wilson Library and the departmental libraries?

After answering these questions, the participants recommended one of three techniques for resolving the conflict in the catalog: 1) change the obsolete heading to AACR 2 form; 2) split the files between the two conflicting forms of heading; or, 3) interfile the conflicting forms.

The detailed methodology followed by the participants is included in this report as Appendix B, pages 43-47.

Results of the AACR 2 impact study

The numerical results of the study are summarized on page 13. The recommendations of the participants for resolving conflicts are summarized in Appendix A, pages 35-41. The results of the study confirmed our assumptions:

— 11% of the headings re-established in AACR 2 form conflicted with headings in our catalog;

— it is practical to change an obsolete heading only when it occurs on 5 or less cards in the catalog;

— 47% of the conflicting headings can be interfiled with only minor disruptions in the filing sequence.

The participants were often uncertain about how to apply AACR 2. With regard to personal names, the participants assumed the title-page form of name was the AACR 2 form. If the title-page form of name was not listed on the shelflist card, the participants searched the National Union Catalog to determine the predominate form. Unfortunately, as the participants learned after completing the study, this procedure is much less rigorous than that followed by LC catalogers when re-establishing personal names. In general, for LC the title-page form is less important than the form that appears in 66 2/3% of the author's works. (Cf. Cataloging Service Bulletin, number 6, fall 1979, pages 10-13.) It is not clear whether our 5% conflict rate for personal names would be raised or lowered had the participants attempted to follow the LC procedure. The Task Force was encouraged to learn that impact studies conducted by UNC-CH doctoral student Arlene Dowell (who is following the LC procedure) are yielding personal name conflicts similar to our rate.

The participants applied a policy of "specific entry" when they determined heading conflict for corporate bodies. Following this policy, the re-established AACR 2 heading "University of Illinois at Urbana-Champaign. Bureau of Urban and Regional Planning Research" was considered to conflict only with its exact pre-AACR 2 counterpart in the catalog, i.e., "Illinois. University at Urbana-Champaign. Bureau of Planning Research." The dozens of other entries in the catalog that began with "Illinois. University at Urbana-Champaign" were not included in the rate of conflict. This policy of "specific entry" is analogous to authority control procedures we may recommend for 1981.

A conference heading was counted as a conflict if the AACR 2 form conflicted with any conference with the same name in the catalog, regardless of number, place, or date qualifiers.

The participants were generally confident when they re-established series under AACR 2 21.1B2--a rule which restricts entry under corporate body. The participants did not attempt to apply the LC policy of "unique identifiers" to series re-established under non-distinctive titles. Fortunately, failure to apply this procedure does not change the rate of conflict between pre-AACR 2 and AACR 2 forms.

Geographic headings were considered for conflict only when they appeared as the initial part of the heading. Geographic names appearing as subject subdivisions were not counted.

Our rate of conflict for uniform titles was very low since cards for scores and sound recordings (which contain most uniform titles affected by AACR 2) are not filed in the catalog of Wilson Library.

The Task Force on Bibliographic Planning wishes to thank these catalogers for participating in the study: Anita Booth; Debby Clinton; David Gleim; Karol Pekar; Jim Romer; and Jeanne Sawyer.

ANALYSIS OF THE IMPACT OF AACR 2 HEADING CONFLICT ON THE CARD CATALOG OF WILSON LIBRARY

DATE: 1-18-80

TOTAL SHELFLISTS TO BE ANALYZED: 916

TOTAL SHELFLISTS ANALYZED TO DATE: 916

PER CENT OF STUDY COMPLETED TO DATE: 100 %

TYPE OF HEADING	NUMBER OF HEADINGS	DUPLICATES	UNIQUE HEADINGS ANALYZED	CONFLICTS ENCCUNTERED	CONFLICTS NOT IN CATALOG	CONFLICTS IN CATALOG	*PER CENT CATALOG CONFLICT BY TYPE	*PER CENT OF TOTAL CATALOG CONFLICT
Personal	1204	34	1170	75	22	53	5 %	33 %
Corporate (not Conference)	141	2	139	54	10	44	32 %	27 %
Conference	19	0	19	19	6	13	68 %	8 %
Series	141	1	140	48	6	42	30 %	26 %
Geographic	73	28	45	12	4	8	18 %	5 %
Uniform Title	10	0	10	1	0	1	10 %	1 %
Totals	1588	65	1523	209	48	161	—	100 %

TOTAL CONFLICT RATE: 209/1523 X 100 % = 14 %

ACTUAL CONFLICT RATE IN CATALOG: 161/1523 X 100 % = 11 %

(*For example: Only 5% of personal names conflicted with the AACR 2 form of entry; however, personal name conflicts accounted for 33% of all conflicts.)

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ESTIMATION OF WORK LOAD FOR CATALOG MAINTENANCE IF CONFLICTING ENTRIES ARE CHANGED FROM OLD FORM TO AACR 2 FORM

CONFLICTS CONSIDERED: Only those conflicts that cannot be interfiled

CATALOG MAINTENANCE TECHNIQUE CONSIDERED: Change only the conflicting heading itself on main and added entries. If the conflicting heading is a main entry, do not change the complete card set.

ALTERNATIVE 1: Change all conflicts that cannot be interfiled;

ALTERNATIVE 2: Change conflicts that cannot be interfiled when they occur on 10 or less cards in the public catalog (main and departmental). Use split files for remainder.

ALTERNATIVE 3: Change conflicts that cannot be interfiled when they occur on 5 or less cards in the public catalog (main and departmental). Use split files for remainder.

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	Data from survey for 916 shelflists		Extrapolation of data for 1981 and 41,000 shelflists		
	Number of headings changed	Number of cards changed	Number of headings changed/year	Number of cards changed/year	Number of cards changed/week
Alternative 1	78	3614	3419	161,762	3110
Alternative 2	36	135	1611	6042	116
Alternative 3	25	61	1119	2730	52

ESTIMATION OF WORK LOAD FOR CATALOG MAINTENANCE IF CONFLICTING ENTRIES ARE CHANGED FROM OLD FORM TO AACR 2 FORM

CONFLICTS CONSIDERED: Only those conflicts that cannot be interfiled

CATALOG MAINTENANCE TECHNIQUE CONSIDERED: Change conflicting headings on main and added entries. If the conflicting heading is a main entry, change the complete card set.

ALTERNATIVE 4: Change all conflicts that cannot be interfiled; .

ALTERNATIVE 5: Change conflicts that cannot be interfiled when they occur on 10 or less cards in the public catalog (main and departmental). If the conflicting heading is a main entry, include the associated added entries in your count of 10 or less cards. Use split files for remainder.

ALTERNATIVE 6: Change conflicts that cannot be interfiled when they occur on 5 or less cards in the public catalog (main and departmental). If the conflicting heading is a main entry, include the associated added entries in your count of 5 or less cards. Use split files for remainder.

	Data from survey for 916 shelflists		Extrapolation of data for 1981 and 41,000 shelflists		
	Number of headings changed	Number of cards changed	Number of headings changed/year	Number of cards changed/year	Number of cards changed/week
Alternative 4	78	5500	3419	246,179	4734
Alternative 5	27	115	1208	5147	99
Alternative 6	20	60	900	2685	51

PER CENT ANALYSIS BY TYPE OF HEADING IF ALTERNATIVE 3 IS ADOPTED

Alternative 3: 1) Interfile conflicts when possible;
2) If interfiling is not possible, change obsolete headings to AACR 2 form if obsolete headings occur on 5 or less cards in catalog;
3) Use split files for remainder.

TYPE OF HEADING	PER CENT OF TOTAL CONFLICT	PER CENT OF TOTAL CONFLICT ACCOMODATED BY: CHANGE	SPLIT FILES	INTERFILING
Personal	33%	1%	2%	30%
Corporate (not Conference)	27%	6%	17%	4%
Conference	8%	0%	0%	8%
Series	26%	7%	18%	1%
Geographic	5%	1%	1%	3%
Uniform title	1%	1/4%(?)	1/4%(?)	1/2%(?)
Totals	100%	15%	38%	47%

Techniques for resolving AACR 2 conflict in the public catalog of Wilson Library

The Task Force recommends three techniques for integrating AACR 2 conflicts into the public catalog: 1) changing pre-AACR 2 headings to AACR 2 form; 2) splitting pre-AACR 2 and AACR 2 headings into separate files; and, 3) interfiling pre-AACR 2 and AACR 2 headings in the same alphabetical sequence.

The split file and interfiling techniques are presently used by our Catalog Management staff, although chiefly for subject heading control. But the precedent for their use has been established. Public service librarians and library users have encountered split files and interfiling in our catalog for several years. By this time, we believe they understand the techniques and accept them, however grudgingly. Since we already have this small "tradition" of split files and interfiling, the Task Force hopes we can expand their use in 1981 without causing abrupt dislocations in the procedures of Catalog Management and in the habits of the catalog user.

The three techniques are analyzed in some detail in the following pages. As a guide to the analysis, the Task Force summarizes its recommendations below.

Changing headings from pre-AACR 2 to AACR 2 form

The Task Force recommends:

1) that a conflicting heading be considered for change only if it cannot be interfiled with the AACR 2 form;
2) that only the heading itself be changed. If the heading is a main entry, the corresponding added entries for that card set will not be changed;
3) that the heading be changed only if it occurs on 5 or less cards in the catalog (main and departmental).

Splitting files between pre-AACR 2 and AACR 2 forms

The Task Force recommends:

1) that conflicting headings be considered for split files only if they cannot be interfiled;
2) that conflicting headings be split into two files when the pre-AACR 2 form occurs on 6 or more cards in the catalog (main and departmental).

Interfiling pre-AACR 2 and AACR 2 forms

The Task Force recommends:

1) that conflicting headings be interfiled whenever possible regardless of the number of cards involved;
2) that when conflicting headings are separated by other headings in the filing sequence, the AACR 2 form be filed with the pre-AACR 2 heading file. The pre-AACR 2 file will not be shifted to the AACR 2 filing location. (See page 19 for more explanation of this problem.)

The Interfiling Dilemma

Interfiling two conflicting forms of the same name can be a dilemma when other entries are normally filed between the two conflicts. This problem is most likely to occur with fullness of personal name conflicts.

There are two solutions to this problem:

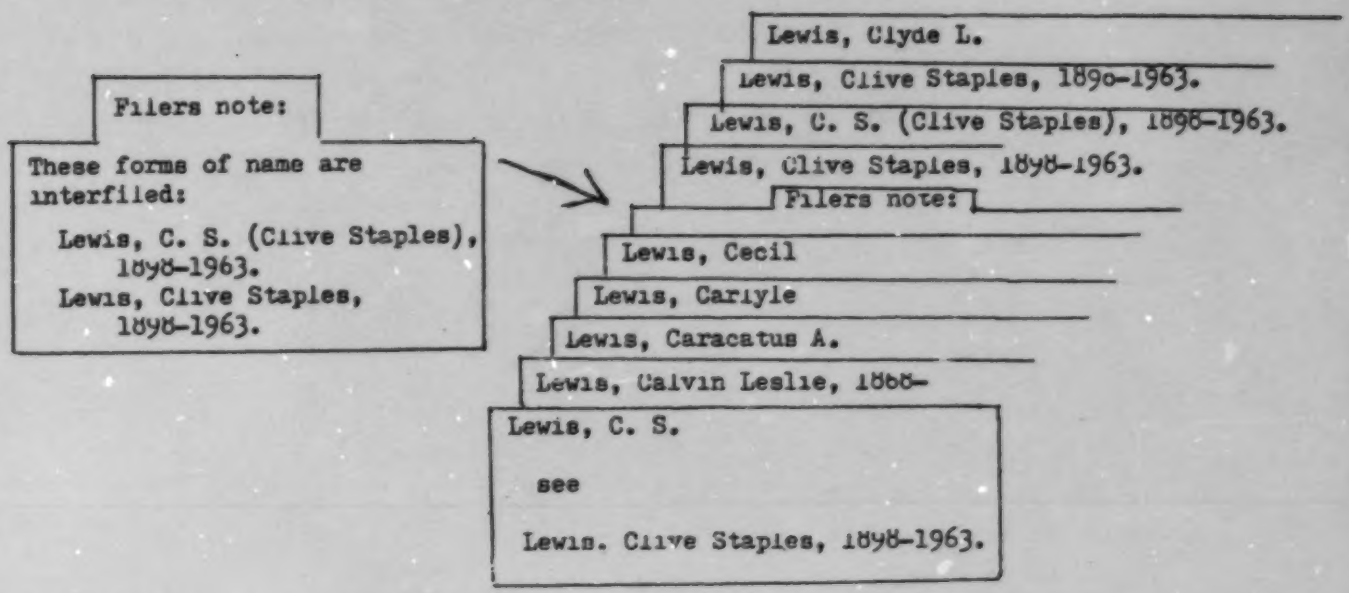
1) Interfile the pre-AACR 2 form with the AACR 2 form; that is, shift the pre-AACR 2 entries to the AACR 2 filing location and make a see reference from the pre-AACR 2 form of name.
2) Interfile the AACR 2 form with the pre-AACR 2 form and make a see reference from the AACR 2 form of name.

Neither solution is attractive. Solution 1 would probably require frequent shifting of large files. Solution 2 requires a confusing see reference from an accepted AACR 2 form of name to a filers note. But of the two, the second solution is least disruptive to the normal alphabetical sequence in the catalog and is probably least confusing to the catalog user.

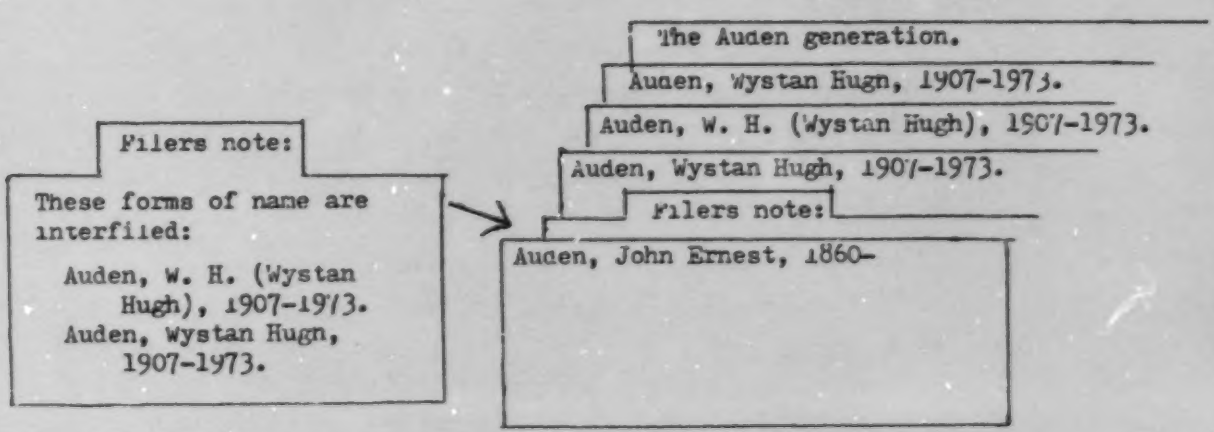
The Task Force recommends that the Catalog Management staff adopt solution 2 for routine AACR 2 authority control. Should this solution prove especially confusing for certain entries, Catalog Management may elect to change the pre-AACR 2 entries to AACR 2 form, possibly by using a filming technique suggested by our Photo Lab (see p. 21).

Table 5, example A, is an illustration of solution 2. Example B illustrates interfiling when no other entries occur between the two conflicting forms.

EXAMPLE A: Interfiling AACR 2 form with pre-AACR 2 form when other entries occur between the two conflicts



EXAMPLE B: Interfiling AACR 2 form and pre-AACR 2 form when other entries do not occur between the two conflicts


Filers note:
These forms of name are interfiled:
Auden, W. H. (Wystan Hugh), 1907-1973.
Auden, Wystan Hugh, 1907-1973.
The Auden generation.
Auden, Wystan Hugh, 1907-1973.
Auden, W. H. (Wystan Hugh), 1907-1973.
Auden, Wystan Hugh, 1907-1973.
Filers note:
Auden, John Ernest, 1860-

Two special methods for changing pre-AACR 2 headings to AACR 2 form

For routine authority control by Catalog Management staff, the Task Force recommends the 5-or-less-headings criterion for changing obsolete headings. Two special methods for changing headings are described below. These should be considered non-routine methods. For the first six months of 1981, at least, the Head of Catalog Management or a cataloger should closely supervise the use of these methods. With these methods, the 5-or-less-headings standard is inapplicable.

Lining through headings — For some conflicting headings, the change from pre-AACR 2 to AACR 2 form can be made merely by lining through the initial parts of the heading. One good example is a series changed from corporate body entry to title entry:

~~Maine. University.~~
University of Maine studies.

~~Maine. University.~~
University of Maine studies.

~~Maine. University.~~
University of Maine studies.

Unfortunately, if the Library of Congress does implement its policy of "unique identifiers" for series, Catalog Management cannot apply this special method for the numerous series with nondistinctive title. (See Cataloging Service Bulletin, no. 5, summer 1979, pages 4-7.)

Changing headings photographically — Sam Boone has experimented with a method for changing headings using Xerox Copy Flo equipment in our Photo Lab. Following this method, a member of Catalog Management will remove cards with the conflicting pre-AACR 2 heading from the public catalog and route them to the Photo Lab. A member of the Photo Lab staff will cover the obsolete heading on each card with a paper slip inscribed with the AACR 2 heading and photograph the card. After development and printing, the cards with the revised heading are returned to Catalog Management and refiled in the public catalog.

This procedure will be most efficient when changing very large files—Clemens to Twain, for example. In practice, Catalog Management may use this procedure infrequently, due to the limited filing space in our catalog to accomodate large shifts of cards.

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Implementation of AACR 2

The Task Force recommends that the Catalog Department implement AACR 2 on January 2, 1981. We suggest that AACR 2 be applied selectively on the basis of copy available at the time of cataloging. Our plan for implementation is outlined on page 23. This table is based upon similar procedures presently followed by the Department for implementing ISBD punctuation and for inputting and editing pre-MARC LC copy. Some assumptions implicit in the "on-line" portion of this table are:

a) OCLC will require its members to follow pre-AACR 2 guidelines for original input prior to January 2, 1981 and AACR 2 guidelines for input January 2, 1981 and later;

b) OCLC will not enter AACR 2 MARC records into its data base until January 2, 1981 (assuming such records are available before that date);

c) All MARC records entered into the OCLC data base January 2, 1981 and later will be AACR 2;

d) OCLC will provide a data element in its formats to identify AACR 2 titles;

e) OCLC will issue guidelines for inputting pre-MARC LC copy January 2, 1981 and later that are similar to those we use presently.

AACR 2 records in OCLC prior to January 2, 1981

Regardless of OCLC's instructions to its members, we anticipate that our catalogers will find some AACR 2 records in OCLC before January 2. We hope the number will be inconsequential. If it is, the Task Force recommends that we defer cataloging these "premature" AACR 2 titles until January 2. If the number is large, we may have no choice but either to catalog some titles in AACR 2 before January 2, or to convert the AACR 2 headings into pre-AACR 2 forms. Since our chance of finding a flood of "premature" AACR 2 titles is probably very small, the Task Force will tackle this problem only if it materializes in the fall of 1980.

IMPLEMENTATION OF AACR 2 ON THE BASIS OF CATALOGING COPY AVAILABLE

	AACR 2 DESCRIPTION	AACR 2 CHOICE OF MAIN ENTRY	AACR 2 FORM OF MAIN AND ADDED ENTRIES
On-line Cataloging:			
Original	yes	yes	yes
AACR 2 MARC	yes	yes	yes
Pre-AACR 2 MARC	no	no	no
AACR 2 member input	yes	yes	yes
Pre-AACR 2 member input	no	no	yes
Pre-AACR 2 LC local input	no	no	yes
Pre-AACR 2 LC member input	no	no	yes
Off-line Cataloging:			
Original	yes	yes	yes
AACR 2 LC	yes	yes	yes
Pre-AACR 2 LC	no	no	no
Adapted AACR 2 LC	yes	yes	yes
Adapted pre-AACR 2 LC	no	no	yes

Authority control and Catalog Management

Maintaining efficient authority control of AACR 2 headings will be the major challenge for our Catalog Department in 1981. No staff member, and especially no one in Catalog Management, should underestimate the difficulties we face in the months ahead. The Task Force proposes important new duties for Catalog Management. The staff of Catalog Management will be responsible for recognizing the majority of AACR 2 conflicts at the time of filing, implementing split files, interfiling, or changed headings, and making name authority cards. In short, much of the burden of AACR 2 will be borne on the shoulders of Catalog Management personnel.

The majority of conflicting headings will be on AACR 2 MARC cards produced by Standard Cataloging. To maintain authority control, we must answer these questions for each AACR 2 heading produced by Standard: 1) Does it conflict with a pre-AACR 2 form already in our public catalog? 2) If it does, should the conflict be resolved by split files, interfiling, or changed headings? The staff of Catalog Management can answer these questions more efficiently than other sections of our Department.

For AACR 2 MARC headings, authority control will begin at the public catalog at the time of filing. Since 90% of these headings will not conflict with pre-AACR 2 forms already in the catalog, authority control will usually end at the time of filing as well. Of those AACR 2 headings that do conflict with earlier forms already in the catalog, about one-half can be interfiled--that is, the conflicting pre-AACR 2 form will be identified at the time of filing. For the remainder of the conflicting AACR 2 headings, the corresponding pre-AACR 2 heading will not be in filing proximity. However, our existing reference structure should help the filer identify both conflicting forms in many cases. For example, our reference from Stendhal to Beyle, Marie Henri will reveal a conflict when the new AACR 2 pseudonym is filed.

An unknown but probably very small percentage of conflicting AACR 2 headings will not be identified by Catalog Management staff at the time of filing. To identify these headings, the Task Force recommends a new "bounce" policy for headings unique to the catalog. It is impractical to bounce every unique entry. Data from our AACR 2 impact study suggest that about 30% of personal names alone filed into our catalog are unique. The Task Force recommends that all corporate bodies and geographic headings unique to our catalog be bounced at the time of filing. Staff from Catalog Management will check each heading against the LC name authority file on microfiche or on OCLC and determine the pre-AACR 2 form of name (if any). Next they will check the pre-AACR 2 form

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of name against the public catalog. Should they locate the pre-AACR 2 form in the catalog, they will make the appropriate authority control decisions.

It is important that the staff of Catalog Management accept and understand their new authority control responsibilities in 1981. These responsibilities are listed again below in a step-by-step format:

step 1 Determine if the heading to be filed conflicts with the same name in a different form already in the catalog;

step 2 If it does conflict, either interfile, change, or split the conflicting headings. Make and file references and name authority cards;

step 3 If it does not conflict, file the heading, unless it is corporate or geographic and unique to the catalog;

step 4 If it is corporate or geographic and unique to the catalog, do not file the heading but check it against the LC name authority file;

step 5 If the heading is not in the LC name authority file, give the heading to the designated librarian for further review;

step 6 If the heading is in the LC name authority file, but the file does not indicate a pre-AACR 2 form, file the heading;

step 7 If the heading is in the LC name authority file, and the file indicates a pre-AACR 2 form, look for that form in the public catalog (that is, return to step 1).

The authority control procedure outlined above should work equally well whether a filer is filing a AACR 2 heading that conflicts with a pre-AACR 2 form in the catalog, or vice versa. With this procedure, a filer does not need to know if the heading he or she is about to file is AACR 2 or not.

Authority control and Standard Cataloging

Beginning January 2, 1981, the Task Force recommends that Standard Cataloging be responsible only for series authority control on MARC records. Authority control for all other MARC records will be the responsibility of Catalog Management. There are two good reasons for reserving series authority control for Standard:

1) AACR 2 conflicts for traced series involve conflict over choice (not form) of entry. Most series now entered under corporate body will be entered under title with AACR 2. This type of conflict will be difficult to detect by filers in Catalog Management.
2) Standard catalogers will have series information on their order cards that will indicate what (if any) authority control exists for a series. Standard catalogers will not need easy access to the public catalog to make many of their authority decisions.

On page 27, the Task Force has outlined a possible series authority procedure for Standard Cataloging. The principle underlying this procedure is this: no series in our series authority file will be converted to AACR 2 form until either a) Standard catalogs an AACR 2 MARC record with that series; or b) an original cataloger converts a SAF card to AACR 2 form. (The role of the original cataloger in authority control is explained on p. 28). Once a series is established in AACR 2 form, all subsequent occurences in our catalog of that series will be in AACR 2 form. This principle is different from that applied to other types of headings. For other headings, we will continue to produce pre-AACR 2 forms even after the AACR 2 form is established in our catalog.

The Task Force wishes to make this second principle very clear: with the exception of series, all headings on pre-AACR 2 MARC records will be accepted as found. If Catalog Management has changed selected pre-AACR 2 headings to AACR 2 form, they will continue to change them when additional headings in the old form are produced by Standard Cataloging.

Series authority control procedures for Standard Cataloging

For pre-AACR 2 MARC records

1. Determine if an SAF card has been made for the series;

2. If no SAF card has been made, make one according to the LC practice on the MARC record (that is, follow our present procedures);

3. If an SAF card has been made, determine if the SAF card is pre-AACR 2 form or AACR 2 form;

4. If the SAF card is pre-AACR 2 form (that is, if it matches the series treatment on the MARC record), then follow the SAF;

5. If the SAF card is AACR 2 form, then change the series on the MARC record to match the SAF treatment.

For AACR 2 MARC records

1. Determine if an SAF card has been made for the series;

2. If no SAF card has been made, make one according to the LC practice on the MARC record (that is, follow our present procedures);

3. If an SAF card has been made, determine if the SAF card is pre-AACR 2 form or AACR 2 form;

4. If the SAF card is AACR 2 form (that is, if it matches the series treatment on the MARC record), then follow the SAF. Mark the SAF "AACR 2 FORM" if it is not so marked;

5. If the SAF card is pre-AACR 2 form, pull the old SAF and make a new one according to the AACR 2 MARC record.

6. If the pre-AACR 2 form of series is traced in our catalog, make a photocopy of the old and new SAF cards and give to Catalog Management.

7. Catalog Management will change, split, or interfile the series conflicts and make appropriate references for the public catalog.

Authority control and Original and Adaptive Catalogers

All headings for all non-MARC records cataloged January 2, 1981 and later by original and adaptive catalogers will be in AACR 2 form. Authority control for these headings will be the responsibility of the original and adaptive catalogers, not Catalog Management staff. The AACR 2 authority control procedures will be virtually the same as our present ones. The Task Force will not discuss them with any detail in this report. Two types of entries, however, will cause special problems for authority control:

1) Series — Original catalogers will face the big problem of re-establishing many series in AACR 2 form without the benefit of LC authority. The SAF cards for "local" re-established series, as well as for "local" new series, will need revision by competent catalogers. Revision will be especially critical during the first months of 1981, when catalogers will be unfamiliar with the new code. The number of cards to be checked will be very large. The Task Force recommends that in 1981 SAF revision duties be divided among three or more original catalogers.

2) Headings established by LC in pre-AACR 2 form but not re-established by LC in AACR 2 form — By 1981 the LC name authority file should contain the majority of headings already on the MARC data base. In spite of LC's commendable effort to re-establish names in AACR 2, our original and adaptive catalogers should anticipate finding some pre-AACR 2 headings not re-established by LC. The Task Force recommends a very conservative approach for re-establishing headings without benefit of LC authority:

step 1 Study the form of the old heading. If the form of the old heading is obviously contrary to AACR 2, the pre-AACR 2 heading must be changed to a different form. Many headings that belong to this category include a) corporate bodies with place, number, or date qualifiers, such as conferences, congresses, heads of state; b) corporate bodies entered under place according to AACR 1 rules 98 and 99; c) corporate bodies with form subheadings; and d) most series entered under corporate body.

step 2 If the form of the old heading is not obviously contrary to AACR 2, assume the old heading is in AACR 2 form. Do not attempt further research. Catalogers should avoid

especially changing headings on the basis of fullness of personal name. Do not re-establish a personal name from full form of forename(s) to forename initial(s) when forename initials appear on the title page of the book cataloged. Form of name on the title page is not sufficient authority for change (see Cataloging Service Bulletin no. 6, fall 1979, pages 10-15).

Local name authority files

The Task Force recommends that the Catalog Department maintain two name authority files beginning 1981. One file will be interfiled with other headings in the public catalog as per our usual practice. This file will be very important to Catalog Management, since AACR 2 authority work for the majority of our headings will be initiated at the time of filing. The second file will be an identical but separate file housed in the Catalog Department. The second file will be more convenient for catalogers, of course. But more importantly, a separate name authority file will be essential for success of our automation plans. Within the next five years, we will begin to convert our manual authority files to machine-readable form--a procedure somewhat analogous to retrospective conversion of old catalog cards. Retrospective conversion of a separate file will be difficult enough. Retrospective conversion of a file interspersed among four million other cards will be impractical, if not impossible.

The Task Force recommends only minor revisions to the format of our name authority cards. A heading changed from pre-AACR 2 form to AACR 2 form will have the usual see from ("x") indicator. Two headings split into pre-AACR 2 and AACR 2 files will each have the usual see also ("xx") indicators. Two headings with interfiled pre-AACR 2 and AACR 2 forms will have a new indicator, possibly the words "interfiled with." In addition, headings will have "Pre-AACR 2" and "AACR 2" indicators. The source of authority legend will be expanded to include the LC name authority file number. Examples of local name authority cards follow on page 32.

Format of name authority cards

Example: Pre-AACR 2 form in catalog changed to AACR 2 form

Haner, F. T. (Frederick Theodore)

x Haner, Frederick Theodore [pre-AACR 2]

81-7948

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Example: Pre-AACR 2 form and AACR 2 form in split files in catalog

Clemens, Samuel Langhorne, 1835-1910.

xx Twain, Mark, 1835-1910 [AACR 2]

x Snodgrass, Quintus Curtius

n/79021164

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Twain, Mark, 1835-1910.

xx Clemens, Samuel Langhorne, 1835-1910. [pre-AACR 2]

x Snodgrass, Quintus Curtius

n/79021164

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Example: Pre-AACR 2 form and AACR 2 form interfiled in catalog

Chapel Hill (N.C.)

interfiled with Chapel Hill, N.C. [pre-AACR 2]

AACR 2

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AACR 2 DECISION TABLES FOR CATALOG MANAGEMENT STAFF

INTERFILE: Interfile AACR 2 heading with pre-AACR 2 heading. Make explanatory card and name authority card.

SPLIT: Maintain pre-AACR 2 and AACR 2 headings in separate files. Use split files when conflicting headings cannot be interfiled and when pre-AACR 2 heading occurs on 6 or more cards. Make "see also" references to link both headings. Make name authority cards.

CHANGE: Change pre-AACR 2 heading to AACR 2 form. Change headings when conflicting headings cannot be interfiled and when pre-AACR 2 heading occurs on 5 or less cards. Make a "see" reference from the pre-AACR 2 heading. Make name authority cards.

TYPE OF HEADING: PERSONAL

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
reduction of forename(s) to initial(s)	Yeats, William Butler, 1865-1939.	Yeats, W. B. (William Butler), 1865-1939.	X		
	Douglas, William Orville, 1898-1980.	Douglas, William O. (William Orville), 1898-1980.	X		
omission or change in initial forename	Wirtz, William Willard, 1912-	Wirtz, Willard, 1912-	X		
	Durant, William James, 1885-	Durant, Will, 1885-	X		
	Cattullus, C. Valerius	Cattullus, Gaius Valerius	X		

TYPE OF HEADING: PERSONAL (continued)

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
omission or change in secondary forename	Woolf, Virginia Stephen, 1882-1941.	Woolf, Virginia, 1882-1941.	X		
minor change in surname or given name	Trotskiĭ, Levn, 1879-1940.	Trotsky, Leon, 1879-1940.	X		
	Aristoteles	Aristotle	X		
omission or change in titles or other words associated with name	Roosevelt, Theodore, Pres. U.S., 1858-1919.	Roosevelt, Theodore, 1858-1919.	X		
	Peter, Saint, apostle	Peter, the Apostle, Saint	X		
change in punctuation of titles or other words associated with name	Theodoric the Great, 454-526.	Theodoric, the Great, 454-526.	X		
major change in surname or given name	Chaĭkovskiĭ, Petr Ilich, 1840-1893.	Tchaikovsky, Peter Ilich, 1840-1893.		X	X
	Horatius Flaccus, Quintus	Horace		X	X
change to new surname or pseudonym	Beyle, Marie Henri, 1783-1842.	Stendhal, 1783-1842.		X	X
	Dudley, Jane, Lady, known as Lady Jane Grey, 1537-1554.	Grey, Jane, Lady, 1537-1554.		X	X

TYPE OF HEADING: CORPORATE (excluding Conference)

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
addition or omission of geographic qualifier	Automobile Association	Automobile Association (Great Britain)	X		
	International Correspondance Schools, Scranton, Pa.	International Correspondance Schools	X		
change from abbrevation to full form of geographic qualifier	Labour Party (Gt. Brit.)	Labour Party (Great Britain)	X		
change in punctuation of geographic qualifier	Institute of Early American History and Culture, Williamsburg, Va.	Institute of Early American History and Culture (Williamsburg, Va.)	X		
change to new geographic qualifier	New York (City). Board of Education.	New York (N.Y.). Board of Education.	X		
change in other qualifiers	Philippines (Commonwealth)	Philippines	X		
	Philippines (Republic)	Philippines	X		
	Sudan	Sudan (Democratic Republic)	X		

TYPE OF HEADING: CORPORATE (excluding Conference) (continued)

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
minor change in spelling	International Labour Organization	International Labor Organization	X		
change in order and punctuation of date, number, or name qualifiers	United States. President, 1953-1961 (Eisenhower)	United States. President (1953-1961 : Eisenhower)	X		
	United States. 87th Congress, 1961-1962.	United States. Congress (87th : 1961-1962)	X		
change in initial word of a subordinate body	United States. Army. Infantry Regiment, 350th.	United States. Army. 350th Infantry.	X		
	Great Britain. Navy.	Great Britain. Royal Navy.	X		
	Canada. Army.	Canada. Canadian Army.	X		
retention of initial adjective denoting royal privilege	Vitterhets-, historie- och antikvitetsakademien, Stockholm	Kungl. Vitterhets, historie och antikvitets akademien	X		
change from entry under place or government jurisdiction to direct entry	Chicago. University.	University of Chicago.		X	X
	United States. National Gallery of Art.	National Gallery of Art (U.S.)		X	X
change from full form of name to acronym	United Nations Educational Scientific and Cultural Organization	Unesco		X	X

TYPE OF HEADING: CORPORATE (excluding Conference) (continued)

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
omission of period to eliminate entry under place	Boston. Public Library	Boston Public Library.		X	X
	Iowa. Geological Survey	Iowa Geological Survey.		X	X
entry under different body of hierarchy	Executive Compensation Service.	American Management Association. Executive Compensation Service.		X	X
change to different form of name	International Bank for Reconstruction and Development	World Bank		X	X
change in government jurisdiction entry	London. Science Museum.	Great Britain. Science Museum.		X	X
entry under personal forename or initial	Little (Arthur D.) inc.	Arthur D. Little, Inc.		X	X

TYPE OF HEADING: CONFERENCE

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
minor change in order and punctuation of number, date, and place qualifiers	Regional Conference on Mental Measurements of the Blind, 1st, Perkins Institution, 1951.	Regional Conference on Mental Measurements of the Blind (1st : 1951 : Perkins Institution)	X		
	Paris Symposium on Radio Astronomy, 1958.	Paris Symposium on Radio Astronomy (1958)	X		

TYPE OF HEADING: SERIES

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
minor change in form of entry or qualifiers	Hepsa Ely Silliman memorial lectures, Yale University	Mrs. Hepsa Ely Silliman memorial lectures	X		
change in choice of entry	Denver. University. Social Science Foundation Monographic series in world affairs.	Monograph series in world affairs		X	X

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TYPE OF HEADING: GEOGRAPHIC

AACR 2 CONFLICT	PRE-AACR 2 EXAMPLE	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
addition of geographic qualifiers	Athens	Athens (Greece)	X		
	Dallas	Dallas (Texas)	X		
minor change in name	Philippines	Philippine Islands	X		
	Argentine Republic	Argentina	X		
major change in name	Russia	Soviet Union		X	X
	Sudan, French	French Sudan		X	X

TYPE OF HEADING: UNIFORM TITLE

AACR 2 CONFLICT	PRE-AACR 2 CONFLICT	AACR 2 EXAMPLE	INTERFILE	SPLIT	CHANGE
omission of form subheading and addition of uniform title	United States. Laws, statutes, etc. United States code.	United States. [Laws, etc.] United States code.	X		
change in choice of entry	Jews. Liturgy and ritual. The Passover Haggadah.	Haggadah. The Passover Haggadah.		X	X
change in uniform titles for music	Brahms, Johannes, 1833-1897. [Works, piano] The works of Brahms.	Brahms, Johannes, 1833-1897. [Piano music] The works of Brahms.		X	X

APPENDIX B: METHODOLOGY OF THE AACR 2 IMPACT STUDY

IMPACT OF AACR II ON THE PUBLIC CATALOG OF WILSON LIBRARY

Introduction:

This paper is an outline of a methodology to help us measure the impact of AACR II entry conflict on the public catalog in Wilson Library. This impact study and other studies that will follow should give us data to:

a) estimate the number of entries and number of cards affected by changes in form of entry due to AACR II;

b) estimate the number of conflicting entries that can be integrated with our card catalog by the techniques of i) changing obsolete entries manually or by photographic methods; ii) interfiling conflicting headings without change; iii) dividing conflicting headings into separate files;

c) establish criteria to aid in selecting the most efficient technique for integrating a conflicting entry;

d) devise procedures to expedite the flow of work between catalogers and catalog management staff from the moment a conflicting entry is identified to the moment the confict is resolved in the catalog;

e) estimate the costs of these procedures in staff time and salary.

Proposal for study:

A statistical study of AACR II entry conflict will be undertaken using a sample from catalog records produced by the Catalog Dept. in Wilson Library during fiscal year 1977/78.

Source of sample:

There is no complete chronological file for all titles cataloged for Wilson Library. The most inclusive file available is the blue slip file in Catalog Management. This file is a day-by-day arrangement of all titles cataloged on OCLC. The slips for each day are arranged by LC classification number.

Problems with sample:

The blue slip file for 1977/78 excludes most serials and non-Roman alphabet titles. Although serials make up only about 2% of all new titles cataloged in 1977/78, serial records contain a far higher percentage of corporate entries likely to be affected by AACR II. A separate study for serials may be undertaken shortly after the present study is begun. Exclusion of non-Roman alphabet titles is probably not statistically significant.

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Sample size:

916 titles. (Precision plus or minus 4%. Confidence level 95%)

Methodology:

A. Collecting sample—

1. The number of blue slips in the 1977/78 file will be estimated.
2. Every 25 th blue slip will be pulled from the file.
3. Blue slips that do not represent cataloged titles will be set aside (e.g. slips that are "discard" notices). Additional blue slips will be pulled until the correct sample size is reached.
4. Shelflist cards corresponding to the LC class. number of the blue slips will be pulled and temps filed. Some shelflists will be missing, so additional blue slips and shelflists will be pulled until the correct sample size is reached.
5. One copy of each shelflist will be duplicated in the Photo Lab. Original shelflists will be refiled and temps discarded.
6. Duplicated shelflists will be given to the Head of Monographic Cataloging and other designated catalogers.

B. Analyzing sample—

Personal, corporate, conference, and uniform title entries will be studied (tags 100, 110, 111, 130, 240, 600, 610, 611, 630, 700, 730, 800, 810, 811). -1651

Data will be recorded on 3 x 5 cards or on key-sort cards, according to these steps:

step 1: Analyze each relevant entry on the shelflist to determine its AACR II form.

step 2: Is there a conflict between the form of entry on the shelflist and its AACR II form?

a) If no, write the entry as it appears on the shelflist on the top left of a 3 x 5 card. File the card alphabetically in the designated box. End analysis of entry.

b) If yes, write the entry as it appears on the shelflist on line 1 of a key-sort card. Write the AACR II form of entry on line 2. Write the AACR II rule(s) used on line 3. Proceed to step 3.

step 3: Check the conflicting entry (on line 1 of key-sort card) in the public catalog. Are there additional entries in the catalog for other titles?

a) If no, file the card alphabetically in the designated box. End analysis of entry.

b) If yes, punch hole 1 of key-sort card. Proceed to step 4.

step 4: Count the number of cards for each conflicting entry according to scheme below. Use verso of key-sort card to compile totals.

	main	dept.
1) number of cards on which entry appears as main entry	a)__	d)__
2) number of added entry cards for main entry	b)__	e)__
3) number of cards on which entry appears as added entry	c)__	f)__

step 5: On front of key-sort card, record the following sums according to this scheme:

sum 1 total of a) and c) _____ Write sum on line 4 of card.

sum 2 total of a) b) and c) ____ Write sum on line 5 of card.

sum 3 total of a) c) d) and f) _____ Write sum on line 6 of card.

sum 4 total of a) b) c) d) e) f) ___ Write sum on line 7 of card.

step 6: Indicate the number range of sums 1-4 by punching the appropriate holes of the key-sort card. Follow this scheme:

	range 1-4	5-14	15-29	30 or more	
sum 1	2	3	4	5	key-sort hole number
sum 2	6	7	8	9	
sum 3	10	11	12	13	
sum 4	14	15	16	17	

step 7: Study our catalog management guidelines* and indicate the best technique for integrating conflicting entries in the catalog.

a) For entries on shelflist that appear as main or added entries in public catalog--

i) if you recommend changing pre-AACR II entry cards (old) to AACR II form (new) manually, then punch hole 18 of key-sort card;

ii) if you recommend changing old cards to new form by special photography in Photo Lab, then punch hole 19 of key-sort card;

iii) if you recommend interfiling old and new forms, then punch hole 20 of key-sort card;

iv) if you recommend splitting old and new forms into separate files, then punch hole 21 of key-sort card.

b) For added entries of conflicting main entries—

if technique i) or ii) is recommended for entry confict, then should added entries for the main entry be revised?

i) If no, then punch hole 22 of key-sort card.

ii) If yes, then punch hole 23 of key-sort card.

* (Our guidelines for integrating conflicting entries in the public catalog will be created and refined as the study progresses.)

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Yale University Library

TECHNICAL SERVICES

Planning Documents

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Introduction

The attached Planning Documents (1979:3-6) have been prepared in connection with our planning for AACR2. They are all internal documents, i.e. they have been prepared for use in Technical Services at Yale, hence the format, wording, and choice of topics.

A few comments seem, therefore, necessary:

1) 1979:3 was prepared partly to assess the impact of the transfer from one network (OCLC) to another (RLIN) and partly to predict what is going to happen in cataloguing after Jan. 2, 1981. It indicates, for instance, that there will be a delay before LC produced AACR2 cataloguing will constitute a sizable portion of our cataloguing needs.

2) 1979:4 reflects current Yale cataloguing policies to a certain degree, especially in subject added entries (identified as 'Added by Yale').

3) The estimate of the impact of AACR2 on card catalogues assumes, among other things, that headings with any difference, such as punctuation, and the like, will not be interfiled. In practice, a considerable number of pre-AACR2 and AACR2 headings can be interfiled if such minor differences are ignored. This fact was not taken into account in the document as the purpose was to estimate the maximum impact of AACR2.

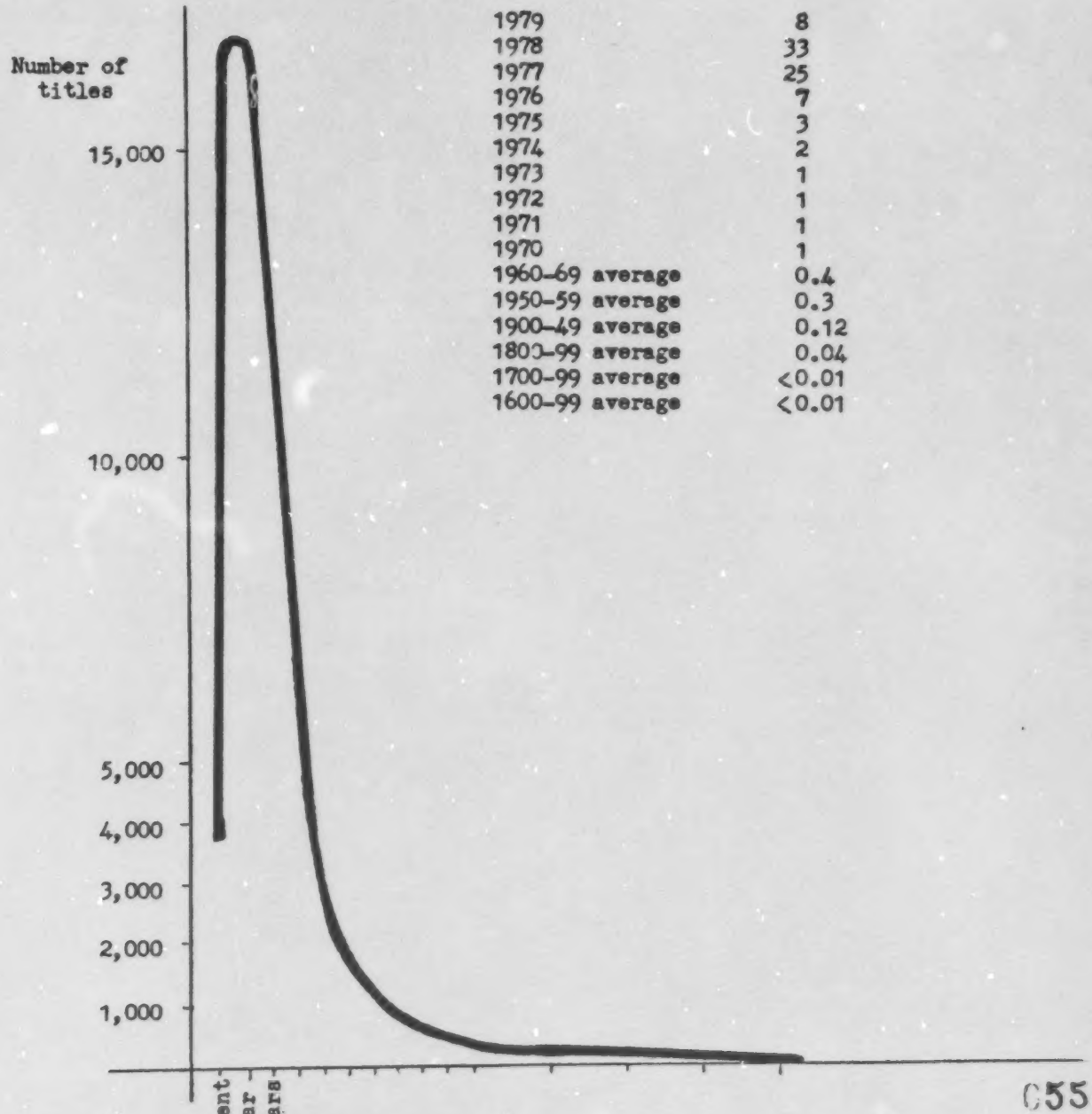
Finally, Yale has changed its original plan to go from card to COM to Online right after Jan. 2, 1981. We have decided to expand and continue our card catalogues for another 4 to 5 years by integrating AACR2 headings with those already on file. At the end of this period a change to online catalogue with COM back-up may become feasible.

Åke I. Koel
Associate Librarian for
Technical Services
8/12/80

AGE OF BOOKS CATALOGUED AT YALE

Distribution of imprint dates on ROAMS Archive File
Sample size: 51,540 titles

Imprint date	% of records
1979	8
1978	33
1977	25
1976	7
1975	3
1974	2
1973	1
1972	1
1971	1
1970	1
1960-69 average	0.4
1950-59 average	0.3
1900-49 average	0.12
1800-99 average	0.04
1700-99 average	<0.01
1600-99 average	<0.01



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ÅIK 11/15/79

Yale University Library
TECHNICAL SERVICES
Planning Document 1979:4

COUNT OF ACCESS POINTS

Tag count of the leader in each record using the Yale Archive Test Tape

Size of Sample: 96,720 titles Date of count: 6.6.79

Distribution by function

Main Entry	Number	Percentage
Personal name	67,466	70
Corporate name	10,792	11
Title	18,462	19
Total	96,720	100

Added Entry		
Personal name	35,767	26
Corporate name	16,468	12
Title	83,319	62
Total	135,554	100

Series Added Entry		
Personal name/Title	16	-
Corporate name/Title	4,954	85
Title	856	15
Total	5,826	100

Subject Added Entry	Number			
	In OCLC	Added by Yale	Total	Percentage
Personal name	17,980	88	18,068	11
Corporate name	6,408	206	6,614	4
Title	1,400	16	1,416	1
Geographic name	27,509	1,839	29,348	18
Topical subject	106,789	4,200	110,989	66
		Total	166,435	100

Distribution by type

Personal name	121,301	30
Personal name/Title	16	-
Corporate name	33,874	8
Corporate name/Title	4,954	1
Geographic name	29,348	7
Title	104,053	26
Topical subject	110,989	28
Total	404,535	100

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Distribution per title by function

The average title has:

Main Entry:	1	access point
Added Entry:	1.4	access point
Subject Added Entry:	1.7	access point
Series Added Entry:	0.1	access point
Total	4.2	access points

ÅIK 11/15/79

Yale University Library
TECHNICAL SERVICES
Planning Document 1979:5

F R E Q U E N C Y C O U N T O F N O R M A L I Z E D H E A D I N G S

Comparison of Library of Congress count (sample: 757,431 headings) and Yale count (sample: 803 headings)

Number of Occurrences	LC Count		Yale Count	
	# of Headings	Percentage	# of Headings	Percentage
1	498,120	65.764	482	60.025
2	126,482	16.699	132	16.438
3	48,216	6.366	50	6.227
4	25,261	3.335	35	4.359
5	14,768	1.950	28	3.487
6	9,712	1.282	13	1.619
7	6,521	0.861	5	0.400
8	4,688	0.619	14	1.743
9	3,487	0.460	7	0.872
10	2,673	0.353	5	0.400
11	2,061	0.272	2	0.249
12	1,737	0.229	4	0.498
13	1,341	0.177	2	0.249
14	1,130	0.149	0	0.000
15	972	0.128	3	0.374
16	897	0.118	2	0.249
17	711	0.094	0	0.000
18	641	0.085	0	0.000
19	542	0.072	0	0.000
20	481	0.064	1	0.124
21	427	0.056	...	
22	382	0.050		
23	388	0.051		
24	291	0.038		
25	275	0.036		
26	250	0.033		
27	265	0.035		
28	224	0.030		
29	209	0.028		
30	174	0.023		

...

The discrepancy between LC and Yale percentages (max. 7.7% for frequency 1, then smaller) can be ascribed to sampling error and to a different mixture of titles (Yale has, for instance, fewer government publications than the LC).

AIK 11/15/79

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Yale University Library
TECHNICAL SERVICES
Planning Document 1979:6

ESTIMATE OF THE IMPACT OF AACR2 ON CARD CATALOGUES AT YALE

On January 2, 1981 the Library of Congress will start using AACR2 headings. The Committee on the Future of the Card Catalogue [at Yale] has recommended that the Main Public Catalogue be closed and replaced by a COM Catalogue for roman alphabet languages and by a new, temporary card catalogue for titles in non-roman alphabet languages.

It seems likely that a number of departmental or special collections may wish to continue using their current card catalogues for access to the collections. It is, therefore, of importance to know the impact of AACR2 on local catalogues.

The estimate presented here is based on a number of assumptions:

1) Cataloguing of 100,000 titles per annum

   This figure happens to be very close to the annual cataloguing ontput of the Catalogue Department; the impact on departmental collections can easily be computed from the data presented here by reducing them to the number of titles added per annum to the collection.

2) 250 working days per annum

3) Integration of AACR2 headings is based on the following formula:

   All names (personal or corporate) occuring up to 10 times in the file will be changed to AACR2 form, those occurring more than ten times will not be changed. In the latter case 'name introduced' cards, one from the old to the new and the other from the new to the old form will be used, i.e. two cards per name introduced.

Estimate of the additional work load

How many cards have to be changed? How many new ones to be made?

According to Planning Document 1979:4, we can expect 1.6044 corporate or personal names per title catalogued, i.e. for 100,000 titles we shall have

160,440 names. The Library of Congress estimates that not more than 17% of names have to be changed (12% because of desuperimposition and 5% because of AACR2). Estimates made by A. Koel at Yale have consistently yielded a lower rate, ca 10 to 12% of names, presumably because of a different mixture of titles, for instance, Yale catalogues fewer government publications. It seems, therefore, safe to assume that the need to change names at Yale will not exceed 15%. Fifteen percent of 160,440 is 24,066 names. These names will have varying frequencies (see Planning Document 1979:5, using LC data):

	# of names	# of cards to be: changed	added
65.764% will occur 1 time	15,827	-	
16.699% will occur 2 times	4,019	4,019	
6.366% will occur 3 times	1,532	3,064	
3.335% will occur 4 times	803	2,409	
1.950% will occur 5 times	469	1,876	
1.282% will occur 6 times	309	1,545	
0.861% will occur 7 times	207	1,242	
0.619% will occur 8 times	149	1,043	
0.460% will occur 9 times	111	888	
0.353% will occur 10 times	85	765	
remaining names will occur more than 10 times	555		1,110
Total	24,066	16,851	1,110

Daily increase of work load when adding 100,000 titles/a:

CARDS TO BE CHANGED	67
CARDS TO BE ADDED	4

This estimate is based on the worst outcome assumption that every name to be changed occurs once on a catalogue card. Obviously, this estimated daily work load will diminish with time, data presented here represent the average work load increase for the first year only.

ÄIK 11/19/79

UNIVERSITY OF MINNESOTA

TASK FORCE ON THE FUTURE OF THE UNIVERSITY LIBRARIES' BIBLIOGRAPHIC FILES

Subcommittee on AACR 2 (Monographs)

Helen Liu, Chairman	CTS Catalog Division
Marilyn Jones	CTS Catalog Division
Ruth Makinen	Bio-Medical Library--Technical Processing
Phyllis Marion	Law Library--Cataloging Dept.
Robert Olson	CTS Catalog Division
Shirley Zack	CTS Catalog Division

CGi

FINAL REPORT

May 1, 1980

I. Introduction

II. Philosophical Basis and General Rules for Description

III. Choice of Access Points

IV. Headings for Persons

V. Geographic Names

VI. Headings for Corporate Bodies

VII. Uniform Titles

VIII. Major Heading Changes and Number of Affected Cards in PUC

IX. AACR-2 Impact--Statistical Study

X. Selective Bibliography

INCLUDED IN SPEC KIT

Geographic Names/Headings for Corporate Bodies (cont'd.)

AACR-2 Heading	PUC Heading	Measurement in PUC
Headings for Persons		
Crane Theological School	Tufts University. Crane Theological School	2 cards
Euratom	European Atomic Energy Community	25 cards
Harvard Law School	Harvard University. Law School	62 cards
Mexico City (Mexico)	Mexico (City)	900 cards
Union of Soviet Socialist Republics (LC will use Soviet Union)	Russia	13,900 cards
Uniform Titles		
Minnesota. [Laws, etc.]	Minnesota. Laws, statutes, etc.	400 cards
United States. [Laws, etc.]	United States. Laws, statutes, etc.	543 cards
Catholic Church. [...]	Catholic Church. Liturgy and ritual.	875 cards
Church of England. [Book of common prayer]	Church of England. Book of common prayer.	150 cards
Church of England. [...]	Church of England. Liturgy and ritual.	150 cards

IX. AACR-2 IMPACT -- A STATISTICAL STUDY

To determine the potential impact of AACR-2, a statistical study was made using records from the PUC. A random sample of 300 titles was taken from the PUC and all personal, corporate and geographic name headings appearing in the main, added and subject entries of each title were examined to determine:

(1) Whether the form of the heading would be the same under AACR-2;

(2) If different, whether the new AACR-2 heading would be compatible with the existing heading in PUC; and

(3) If incompatible, how many existing records in the PUC would need to be changed.

The same 300 titles used by the previous Task Force on Retrospective Reclassification of the University Libraries Collections were used in the present study. The titles were selected by standard sampling techniques to insure statistical accuracy and reliability. Table I shows the statistical profile of the sample used.

In carrying out this study, the form of each heading was evaluated according to AACR-2 and LC's implementation plan[1] to see whether a new form would be required under AACR-2. In case a new form was required, it was further determined whether the present form was AACR-2 compatible or incompatible. When it was unclear whether a given form would change under AACR-2, the same heading was evaluated by two other Committee members to arrive at a final decision.

The result of this is shown in Table II and III. Table II shows the number of personal and corporate/geographic name headings generated by the sample of 300 titles. The corporate and geographic name headings were combined in the study because geographic names often appeared in corporate name headings. In the tables, the term, "Pure AACR-2" means that a given heading is the same under AACR-2. The term, "AACR-2 Compatible" means that a new heading would be required under AACR-2, but the present heading can be tolerated, i.e., the present heading will continue to be used by LC. Similarly, "AACR-2 Incompatible" means that the present heading is both different and intolerable under AACR-2. When a given heading was found to appear more than once in the sample, it was counted only once. Thus, the number of headings shown are unique headings representing distinct and separate headings generated by the sample.

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[1] Cataloging Service Bulletin 3:3-7 (Winter 1979) ; 6:2-4 (Fall 1979)

The result in Table II shows that of the 447 headings generated by the sample, 68% were pure AACR-2 and 29% were AACR-2 compatible headings. Only 3% of the headings were AACR-2 incompatible. While the great majority of headings generaged were personal name headings, -- 333 out of a total of 447, -- only 2% of the personal name headings were AACR-2 incompatible. Most of the AACR-2 incompatible headings were generated by corporate/geographic name headings.

One of the objectives of the present study was to determine the number of records in the PUC that must be modified or changed following the adoption of AACR-2. In this study we assumed that the University of Minnesota split-file policy would continue to be maintained. Under this policy, when the number of records involved in the change is 25 or more, no change is made. Instead the old heading is retained and information cards are used linking the old and the new. The pertinent data on the number of records to be modified or changed are shown in Table III. Table III shows that if the sample of 300 titles were to be cataloged according to AACR-2, 43 of the existing records (16 with personal name headings and 27 with corporate/geographic name headings) in the PUC would have to be revised. The numerical impact of AACR-2 is thus to increase the number of records handled by 43/300 or 14%. Should the University of Minnesota split-file policy outlined above not be followed, the additional records to be handled would be considerable greater. The number in parentheses shows that in the absence of such a policy, the additional records to be changed would amount to more than 1,000%.

It should be emphasized that the above figures pertain only to the additional records to be handled during the initial period following the adoption of AACR-2. As time progresses, more and more of the records in PUC would be brought into the new form. The records to be changed would consequently decrease. Many of the existing records in the PUC have pre-AACR headings resulting from the LC superimposition policy. Under the new "desuperimposition"

policy announced by LC, some of these headings would need to be changed. The above figures also include the contributions due to this "desuperimposition" policy. It should be mentioned also that certain adjustment in PUC records is already being made under the present cataloging policy, and that the net increase in cataloging work load would be somewhat smaller than indicated by the above figures.

In addition to the above study, a second study was made using 100 recently cataloged titles, all of which had post 1970 imprint dates. The purpose of this second study was to see whether there was any difference due to different imprint dates. Since the most recently published material predominates in our work load, the result of this second study should provide a more realistic picture of the true impact of AACR-2 on catalog maintenance. The results, shown in Tables IV and V, indicate that the incompatible headings would remain at 3%, the same as before. However, the new figures show that for every 100 new titles cataloged under AACR-2, 27 existing records in the PUC must be changed if the University of Minnesota split-file policy is followed. Further, in the absence of the University of Minnesota split-file policy, the number of additional records to be modified would be enormous, viz., 14,574. A closer look at the problem shows that the large number of records involved were due to a few AACR-2 incompatible headings, each of which contained a large number of records. For instance, Table VI shows that the heading, "Russia" alone contributed 13,900 AACR-2 incompatible records. It is clear that to avoid excessive increase in work load, the University of Minnesota split-file policy must continue to be maintained following the adoption of AACR-2.

In a recent paper published in Library Resources & Technical Services, Potter[1] made a detailed study of the problem of heading conflicts under AACR-2.

[1] W. G. Potter, "When names collide : conflict in the catalog and AACR 2", Library Resources & Technical Services 24(1):3-16 (1980)

Using records from the University of Illinois at Urbana-Champaign and University of Wisconsin-Whitewater, he determined that 66% of the authors produced only one title. For these authors, the problem of conflict does not arise. Of the remaining 34% of authors who produced more than one title, he assumed that 11% would result in conflict as Library of Congress has determined. He concluded that (.34)x(.11) = 4% of all personal headings in a catalog would need to be changed under AACR-2. Similarly, using our result that 2% of the personal headings in the PUC are in conflict, we estimate that (.34)x(.02) = 1% of the personal headings in the PJC would need to be changed.

The 3% incompatible headings obtained in this study is different from the 11% figure announced earlier by the Library of Congress. The difference may be due to differences in the samples used, and to the fact that we used "unique headings", whereas in the case of the LC study, the headings may not be all unique. Further, our study was based on the use of a rather small sample, which may contribute to some uncertainty in the results.

A study similar to ours was conducted at the Duke University, Durham, NC.[1] It was found that 10.8% of the personal headings and 22.6% of the corporate headings were in conflict versus 3% and 7% for ours. Again the difference in results may be due to real differences in the collections at the two universities, difference due to the use of "unique" headings and headings which may not be unique, and to uncertainties due to the use of finite sample sizes.

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[1] Duke University. Future of the Catalog Committee. "Impact of AACR 2 on the Libraries' Catalogs ..." (June 1979)

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TABLE I STATISTICAL PROFILE OF FIRST SAMPLE OF 300 RECORDS

	Number of records	Percent
Distribution of records by language		
English record	231	77%
Non-English record	50	17%
Non-Roman record	19	6%
TOTAL	300	100%
Distribution of records by type		
Monographs	267	89%
Serials	33	11%
TOTAL	300	100%
Distribution of records by imprint date		
Pre 1600	2	0.6%
1600-1699	6	2.0%
1700-1799	8	2.6%
1800-1899	20	6.7%
1900-1924	29	9.7%
1925-1949	56	18.7%
1950-1959	42	14.0%
1960-1969	83	27.7%
1970-	54	18.0%
TOTAL	300	100.0%

TABLE II HEADINGS IN FIRST SAMPLE OF 300 RECORDS

HEADINGS	Number of headings in Sample	Pure AACR-2 #	Pure AACR-2 %	AACR-2 Compatible #	AACR-2 Compatible %	AACR-2 Incompatible #	AACR-2 Incompatible %
Personal name	333	232	70%	95	28%	6	2%
Corporate/Geographic name	114	71	63%	34	30%	9	7%
TOTAL	447	303	68%	129	29%	15	3%

TABLE III NUMBER OF PUC RECORDS WITH AACR-2 INCOMPATIBLE HEADINGS GENERATED BY FIRST SAMPLE OF 300 RECORDS

HEADINGS	Number of PUC records	Percent
Personal name	16* (741**)	5%(247%)
Corporate/Geographic name	27* (2,302**)	9%(768%)
TOTAL	43* (3,043**)	14%(1,015%)

* With split-file policy based on 25 records

** In the absence of split-file policy

TABLE IV HEADINGS IN SECOND SAMPLE OF 100 RECORDS WITH POST 1970 IMPRINT DATE@

HEADINGS	Number of headings in sample	Pure AACR-2 #	Pure AACR-2 %	AACR-2 Compatible #	AACR-2 Compatible %	AACR-2 Incompatible #	AACR-2 Incompatible %
Personal name	142	112	79%	29	20%	1	1%
Corporate/Geographic	28	21	75%	3	11%	4	14%
TOTAL	170	133		32	19%	5	3%

TABLE V NUMBER OF PUC RECORDS WITH AACR-2 INCOMPATIBLE HEADINGS GENERAGED BY SECOND SAMPLE OF 100 RECORDS WITH POST 1970 IMPRINT DATE

HEADINGS	Number of PUC records	Percent
Personal name	0*(147**)	0%(147%)
Corporate/Geographic name	27*(14,427**)	27%(14,427%)
TOTAL	43*(3,043**)	14%(1,015%)

@ These records were not included in the first sample of 300 records

* With split-file policy

** In the absence of split-file policy

TABLE VI AACR-2 INCOMPATIBLE NAME HEADINGS WITH 25 OR MORE PUC RECORDS GENERATED BY FIRST AND SECOND SAMPLES*

AACR-2 HEADING	PUC HEADING	NUMBER OF PUC RECORDS
Houghton, Claude.	Oldfield, Claude Houghton, 1889-	25
Vergil. (or, Virgil)	Vergilius Marco, Publius.	700
Moskovskiĭ universitet.	Moscow. Universitet.	175
University of Puerto Rico.	Puerto Rico. University.	100
Sri Lanka.**	Ceylon.	1,000
University of Michigan.**	Michigan. University.	1,000
Carroll, Lewis.	Dodgson, Charles Lutwidge, 1832-1898.	147
University of Wisconsin.**	Wisconsin. University.	500
Union of Soviet Socialist Republics. (LC will use Soviet Union)	Russia.	13,900

* Headings 1 through 6 from first sample; headings 7 through 9 from second sample

** Already under split-file in PUC

WAYNE STATE UNIVERSITY

Between a Rock and a Hard Place: Report of the WSUL Working Group on the Post-1980 Catalogs

Working Paper No. 15

Committee Members:

Irene Bakewell, Researcher
Elsie Baxter
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Detroit, Michigan
April, 1980

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ABSTRACT

Professional literature and Wayne State University Libraries' own situation and resources were reviewed to determine the best response to LC's announced decision to adopt AACR2 and abandon superimposition for post-1980 cataloging.

The theoretical possibility of ignoring this decision and continuing with AACR1 was rejected, as WSUL, like other large libraries, must follow LC, and membership in OCLC requires conformance with its standards, which will incorporate AACR2. The possibility of converting all present records to AACR2 was also rejected as totally beyond the Library's means in the foreseeable future.

The remaining options identified were studied exhaustively. Advantages and disadvantages of a split catalog (a pre-1981 catalog either closed or frozen, and a new post-1980 catalog) and a unified catalog (the present catalog left open and continued) were weighed. Factors considered were 1) kind, quantity and complexity of authority work and reference structure required for each; 2) facility of meeting OCLC standards; 3) relationship to future on-line catalog and services; 4) possible utilization of OCLC archival tapes; 5) filing complexity, and adequacy of the staffing budget to meet its demands; 6) work flow patterns, and where the principal additional burden would fall for each option; 7) handling of entry conflicts in a unified catalog, and conditions and methods for interfiling or changing entries; 8) linking of split files, whether in a unified or a split catalog; 9) special problems presented by serials, series and open entries; 10) under the option of a split catalog, whether to split by cataloging or imprint date; 11) whether, for a 'new' catalog, to continue the pre-1981 division into author-title and subject catalogs or to convert to a dictionary arrangement; 12) the physical form which a new catalog might take (card, COM, on-line).

Staff training programs and implementation plans were outlined briefly, and monitoring procedures for the first two years of operation under the option chosen were suggested.

Summary recommendations follow.

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Summary recommendations

1. WSUL should close their union and unit catalogs in January, 1981, or shortly thereafter, and start new post-1980 card catalogs.

2. WSUL should defer COM catalog implementation until able to manipulate their own records on-line.

3. The new catalogs should be author/title and subject catalogs, divided as are the present catalogs.

4. The present practice of providing subject guide cards for all subjects and subject suodivisions should be discontinued. Guide cards will be provided selectively.

5. Subject cards should be subarranged in alphabetical order in the union catalog. Branches, however, can choose to file their subject catalogs in inverse chronological order should they so wish.

6. The possibility of refiling the old subject catalog in alphabetical order should be further investigated.

7. There should be no linking references between the old and new catalogs--in either direction. However, within each catalog full cross-references should be made between the old and new forms of entry.

8. Form cards should be strategically placed in each drawer reminding the patron of the other catalog; appropriate signs should be made; the catalogs should be clearly distinguished; and library leaflets should be prepared explaining the situtation.

9. Serials already cataloged may be brought forward into the new catalog when recataloging is required.

10. Series should be retained in both catalogs with proper references to get the patron from one form to the other.

11. All monographic open entries should be brought forward into the new catalog whenever AACR2 forms of entry must be used in connection with them.

12. Thoroughly accurate authority files should be maintained for every name going into the new catalog and also for every subject; new name authority and series authority files may be interfiled; the subject authority file should be kept in the Catalog Department along with the name and series authority files.

13. An on-line catalog with authority files is a future possibility, and this should govern WSUL's thinking as new policies and procedures are set up.

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Appendix V
BIBLIOGRAPHY

The following titles were selected for distribution to members of the WORKING GROUP ON THE POST-1980 CATALOG. Because of the limited time (one month) available to the Working Group to complete its research, examine and evaluate options and alternatives, and prepare its recommendations for distribution to the library staff as a discussion paper, only those materials to which there was immediate access were chosen; for this reason important titles may be missing from the list. Readings emphasize recently published articles and unpublished studies appearing during the last two years.

Irene Bakewell, Compiler. 3/26/80

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Library Services Future of the Card Catalog Committee

Final Report

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The Impact of AACR2 on Morris Library Catalogs and Cataloging

The AACR2 Subcommittee of the Future of the Card Catalog Committee was given the charge of assessing the effect of the second edition of the Anglo-American Cataloguing Rules (AACR2) on the cataloging practices and on the catalogs of Morris Library. Herein are given results of samplings taken of cataloging and the changes produced by the new rules and observations on the effect of those changes.

As has been reported in the literature, the new rules will produce some significant changes in the way certain personal and corporate names are listed in the catalog. To list the ones which are more striking or which appear to have the most impact:

1. Authors are to be listed under the name or form of the name they are commonly known by. Thus we will have:

Lawrence, D.H.	not	Lawrence, David Herbert
Moses, Grandma	not	Moses, Anna Mary Robertson
Horace	not	Horatius Flaccus, Quintus
Stendhal	not	Beyle, Marie Henri

2. Corporate bodies will more often be entered directly under their own names, rather than under a higher jurisdiction. Thus we will have:

University of Illinois	not	Illinois. University
Canadian National Railways	not	Canada. Canadian National Railways
Association of College and Research Libraries	not	American Library Association. Association of College and Research Libraries

However, it is also true that the form of most names will not change. So we will still have Shakespeare, William; Fitzgerald, Ella; Illinois. Environmental Protection Agency; and United States. Congress. And even if the form of the name is different under the old and new rules, the name may not be in our catalog at present, so there is no conflict; or it may be in the catalog, but we may never get another book by that author, so again there is no conflict.

Assessing the Effect of AACR2

Since it was clear that the new rules would produce some change, the subcommittee set about determining how much it would affect Morris Library. There were three areas which it seemed we should look at: 1) the effect on the normal run of cataloging, 2) the effect on prolific authors (artists, composers), and 3) the effect on often-used corporate headings.

The Effect on Normal Cataloging

Various figures have been presented in the literature as representing the percentage of headings which will be affected by the new rules. Most of these figures fall in the range of 10-15%. But we did not know if our library was typical, so we felt we should verify the amount of conflict in our own catalog.

To this end, we drew two samples at random from recent cataloging, one of 175 titles and one of 150 titles. We established all names on these cards according to AACR2 and compared the results to what was in the catalog. As there were not significant differences in the results, the totals for the two samples have been combined (Appendix 1). The net result showed a conflict rate of 12.58%. Since this is very close to the Library of Congress reported rate of 13%, we did not feel that it was necessary to take any further samples.

A second part of the study was to see how many cards were affected by each conflict (Appendix 2). This can be looked at in two ways. If we follow the traditional practice of correcting every card in a card set when there is a conflict, there are 56.05 cards to be changed per conflict. However, if we just change the heading on the cards in conflict and let references take care of tracing problems, then there are only 13.01 cards to be changed for each conflict.

What do these figures mean? Our sample of 325 titles represents about 1% of a year's cataloging. If we assume that the sample is representative, we see that we will have 8,100 conflicts in the first year. These conflicts will mean that 454,086 cards will need to be changed if we correct the entire set, or 105,381 if we correct only the cards in actual conflict. (These figures probably represent maximums, since the conflicts will start overlapping later in the year. However, the results from the King Research study seem to show no more that a 15% overlap.)

The Effect on Prolific Authors

The subcommittee felt that authors whose works were extensive (either because the original body of work was large or because of numerous editions or translations) might cause some special problems, if the form of their names were different in the new rules. Some obvious examples come to mind, e.g., Mark Twain and Lewis Carroll. The question is, how many of these are there?

After trying several methods of studying this question with no success, we discovered a list of dead-end searches compiled by Michigan State University. "Dead-end searches" are searches in OCLC for which a search key gives more than 256 records. On a personal author search, this means the author is represented by more than 256 works and/or editions in the data base. Using this list, we determined that out of 114 prolific authors, 18 would cause entry problems, about 15%. Since this figure was close to the percentage derived from the sample of normal cataloging, we concluded that the problem was no better or no worse than with regular authors. And since some prolific authors had turned up in our sample of regular cataloging, we further concluded that those figures were already weighted for the effect of prolific authors.

The Effect on Often-used Corporate Headings

In the literature discussing the new rules, quite a bit of attention has been focused on the problems with corporate headings. However, as the subcommittee quickly found out, it is difficult to gauge the effect. Our samples of normal cataloging turned up a few corporate headings; but none of the kinds of problems which we know will occur showed up. But we could not come up with a

way to sample the full range of corporate headings. We were finally forced to take a smaller subset, governmental headings, for our sample.

We took a 1% sample of Illinois, Missouri, and New York headings and a .5% sample of United States headings. These samples gave results ranging from 20% conflict for Illinois to 40% conflict for United States. The number of cards affected ranged from 20 to 108 at the point of conflict and 86 to 404 if all cards in a set are changed.

About the only conclusion we can draw from these figures is that headings for countries, states, cities, etc., are going to cause some serious problems. And because these headings appear so frequently in our catalog, there is a high probability that the conflicts with governmental headings will occur in the first couple of years.

Observations, Implications, Conclusions

The results of our samples served basically to show that we are fairly typical in our problems and to confirm our earlier suspicions about how bad some of the problems will be. But, in the end, we are unable to determine the impact of AACR2 on us for a couple of reasons. The rules have ambiguities, so that we cannot determine if some headings will change or not. We won't know what some headings will be until the Library of Congress established them. Further, our samples of past cataloging don't tell us what names will actually cause conflicts. So we really won't be able to measure the impact until we have been using the rules for two or three years. In the meantime, what do we do about our catalog?

Much of the discussion at meetings and in articles about the future of catalogs and cataloging suggest that the ideal is to go to a computer catalog. Much effort is being expended by the utilities and private firms in developing on-line catalogs. But as shown by the King Research studies, because of the development time and the cost, it is clear that Morris Library will not have an on-line catalog on January 2, 1981. Likewise, because of the cost, it appears that we will not be able to go to the interim method chosen by several libraries, COM. So, realistically, come 1981, our library has one choice, a card catalog. We need to look at what form that card catalog will take in 1981.

The question of what form the card catalog should take fundamentally comes down to the point of whether the catalog is to be an integrated one or not. By "integrated" we mean a catalog which provides for a single look-up to find all the titles written by one person or agency.

The Integrated Approach

The integrated catalog seems to most observers to be best for the user. The principle of grouping all the works of an author (and all editions of a work and all books on a subject) together is called collocation. It has been recognized as one of the goals of cataloging at least since the time it was articulated by Cutter. An integrated catalog could be produced in one of three ways: 1) staying with the old rules, 2) adopting the new rules and recataloging, or 3) adopting the new rules and refiling.

1. Staying with the old rules. This option has been discussed and rejected both in general by the profession, and specifically by our library.

2. Adopting the new rules and recataloging. With the staff we have, this appears impossible. If we look at the estimates derived from our sample, we see that in the first year there are 8,100 titles in conflict. Each of these titles conflicts with an average of 13 other titles. So there would be 105,300 recatalogings necessary in the first year. That is equivalent to three year's cataloging with our present staff. In addition, there would be about 450,000 cards to be pulled, discarded or changed, and refiled. And 105,300 would file in different places in the alphabet, necessitating shifts. Further, if the new form of the name used for the author had a different entry element, recuttering would be necessary. For example, Dodgson, Charles Lutwidge is cuttered as D645, while Carroll, Lewis would be cuttered as C319. This means that all the books would have to be remarked, and, of course, the stacks shifted.

3. Adopting the new rules and refiling. Instead of recataloging all the titles in conflict and producing new card sets, we could just refile the cards in conflict. For example, we could refile all the cards which are under Clemens, Samuel Langhorne under the new entry Twain, Mark. "See" references would be filed under Clemens. The only marking of the cards might be to write, type, or stamp the new heading on the cards while erasing or lining out the old heading. (But, as discussed in 2 above, the call number on the entire card set would have to be changed in those cases where the cutter number for the author changes.)

   But still, there would be 105,300 of these to do in the first year, and a very complicated shift would be necessary to accommodate entries in different places, such as all the state universities under "University of...". And further, although the refiling is straightforward under personal names, the situation for corporate names is complex. For example, the form of the name for the parent institution and of a subordinate unit may both change. The subordinate unit may have a different name, the hierarchy of the entry may be different, or the subordinate unit may be entered directly.

   To take a simple illustration of the latter: under the old rules, the entry Oxford. University. Bodleian Library has been established. Under the new rules, the entry for the university is University of Oxford and the entry for the library is Bodleian Library. Are the old cards under the library's name to be moved to the "U's" or to the "B's"? Also, note that entries for all subordinate units of the University of Oxford already in the catalog would have to be established and the cards refiled, even if we never use some of the headings again.

The Non-integrated Approach

Although libraries supposedly have been cataloging according to the principle of collocation, in actual fact, we have deviated from it for several reasons: mistakes, practical considerations, following rules which were actually at variance with the principle, and superimposition.

1. Mistakes. Because the forms of entry for some names were so different between the ALA rules and AACR, first edition, two forms of some names appear in the catalog with no connection made between them.

2. Practical considerations. When a change involved a large number of headings, we have sometimes applied the new form just to new materials and made references between the forms.

3. Following rules at variance with the principle of collocation. Some rule changes, such as the one for corporate headings, clearly abandoned the principle. Under the ALA rules, if a corporation changed its name, all the old publications were recataloged to be under the new name. Under AACR, first edition, cross references were to be made instead.

4. Superimposition. Simply stated this meant you would use an older form which was already established in preference to a different form which resulted from the new rules. This was to prevent us from having to do large scale recataloging while preserving collocation. But the idea had a flaw which wasn't readily apparent; that is, you used the new rules to establish any name which was changed, no matter how slight the change. So we have in our catalog Missouri. University and University of Missouri--Columbia, both representing the same place.

So it is the non-integrated catalog which actually represents our practice up to this point; each book is cataloged under the rules operative at that time. Any discrepancies produced by this practice are reconciled by cross references, or, if minor, ignored. If we consider it likely that we will continue this way, then we come to the question, "How may alphabets* will the catalog be in, one, or two?"

1. One alphabet. As stated, this is the current form of our catalog. To continue with it has the beauty of presenting no apparent change to the user, which should result in less negative publicity for the library over the rule changes. It is also what we are used to.

   But we must be aware that the number of "see also" cross references will rise considerably. Some sections of corporate names with many subdivisions will have cross references filed every second or third card. And "see also" references are often missed by the user, there being no single best place to put them in long files under one entry.

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*When we speak of alphabets, we mean how many for each section (author-title, subject, divisional, etc.) and not how many sections. And at this time, we are speaking of either one or two alphabets. More alphabets might be part of the picture later if there are newer editions of the rules which again bring about drastic change. Also, this discussion is framed in terms of the main author-title catalog. In fact, separate consideration must be given to each catalog or section of the catalog in Morris Library, i.e., author-title, subject, divisional, map, IMC, etc.

Further, keeping our catalog in its present form means perpetuating past mistakes and continuing a catalog which is rife with inconsistency.

2. Two alphabets. This alternative has the immediate disadvantage of forcing the user to do double look-ups for many entries. It also necessitates a shift of the catalog on January 2, 1981, to make room for the new alphabet. But, this approach has several advantages.

First, the problem of double look-up may not be as bad as it seems. In a very few years, the new alphabet will be large enough that many users can search just it. Since we have open stacks, subject searches need only get the person to the right area and the older books will be there too. Further, since the newer books will be in the new alphabet, many users will find what they want on the first try anyway. (For a discussion of how to link the two alphabets, see Appendix 3.)

Second, we have the opportunity to make the new alphabet a truly consistent catalog. It can be based on one set of rules backed up by a complete authority file.

Third, it can all be in machine-readable form, making it easier to be transformed into another form, such as COM or on-line.

Fourth, it has the quality of being the one option which we can choose now which would permit us to change our minds later. If we later go to on-line or COM, the whole new alphabet can be discarded. (And possibly after ten or fifteen years the old one can be microfilmed and discarded also.) Or if we later decide we should have stayed with one alphabet, we can refile the whole new alphabet into the old one. Granted, it would be a large refiling job, but it would be much less difficult than the other way around, that is, pulling from one alphabet to make two.

Summary

The second edition of the Anglo-American Cataloguing Rules is clearly going to cause significant changes for our library. Some of these changes will certainly cause an additional work load for the Cataloging Department. But, more seriously, these changes will cause problems for the reference librarians and for the users.

In looking at what we should do, naturally, we must give consideration to the costs. Thus, some of the alternatives which look best for the user are simply beyond our means. But conversely, some of the alternatives which appear to be relatively inexpensive to put into practice may be disastrous for the user.

Obviously, whatever we do must be balanced between the needs of our users and what we can afford. The subcommittee would suggest that a new card catalog (i.e., a second alphabet) may provide the most answers with the least number of problems.

Appendix 1

Amount of conflict caused by AACR2
Sample of 325 titles

type of entry	total no. of entries	no. in conflict		major conflict*	
		#	%	#	%
personal	454	89	19.6	55	12.1
corporate	130	25	19.2	10	7.7
uniform title	16	2	12.5	2	12.5
series	44	15	34.1	14	31.8
total	644	131	20.34	81	12.58

*Minor conflicts were those in which an author's name differed only in full middle name vs. middle initial, or in a corporate or series name with a parenthetical identifier which was clearly equivalent to the name without the identifier.

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Appendix 2

Number of cards affected by a conflict

Number of cards in a card set
Sample of 325

catalog	msl	dsl	pca	da	added entries	subject entries	total
total no. of cards	359	359	359	359	557	595	2588
ave. no. of cards/title	1.105	1.105	1.105	1.105	1.71	1.83	7.96

Cards in public catalog affected by AACR2
Sample of 150

type of entry	total no. of entries in conflict with catalog	number of cards already in catalog at point of conflict: main entries	added entries	subject entries	total	ave. no. of cards at point of conflict
personal	42	267	53	83	403	9.6
corporate	16	79	126	2	207	12.9
series	10		265		265	26.5
total	68	346	444	85	875	13.01
multiplied by the no. of cards in a set to be changed		7.96	2*	2*		
cards to be changed		2754	888	170	3812	

68 conflicts
3812 cards to be changed
56.06 cards per conflict

*only the card in conflict and the msl where the official tracing is kept need to be changed for an added entry or subject

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Appendix 3

Cross references

One of the problems in a card catalog when you have variant or related entries is that they must be joined together with "see also" references. Our intuitive reaction is that users miss those references and that what is preferable is to have "see" references. This leads the subcommittee to recommend that if there are two alphabets or catalogs, they be linked with "see" references rather than with "see also" references. To illustrate with a concrete example:

> Up to now, the rules have called for the entry Beyle, Marie Henri, for the writings of Stendhal. The new rules will put those writing under Stendhal. So, if we have two catalogs, the entries in the old one will be Beyle; in the new, Stendhal. The usual suggestion is to link those entries with a kind of "see also" reference. This reference in the old catalog would be filed at the end of all the entries under Beyle, and would probably read something like, "In the new catalog, for works written by Beyle, look under the entry Stendhal". And there would be a similar card going the other way under Stendhal in the new catalog. Note that these references would be in addition to any "see" or "see also" references already needed.
>
> We would propose that "see" references be used instead. Thus, in the new catalog, we would put a card under Beyle which would read, "Beyle, Marie Henri, See Stendhal" and one the other way for the old catalog. Probably, this "see" reference should be more claborate. For example, it might read, "Beyle, Marie Henri. This is the entry used in the old catalog. In this catalog, look under Stendhal". This would give the user all the information needed in one look-up.

This method has four points in its favor: 1) being a "see" reference, it will be found more often by the user than a "see also" reference, 2) a lot of these references are already in the old catalog, 3) even if we should choose to link catalogs with "see also" references, many of these "see" references would have to be made anyway, and 4) it appears that fewer references would be necessary this way, thus making it easier and cheaper to do.

University Memorandum

BROWN UNIVERSITY

Date August 21, 1980

To Task Force on Alternative Catalogs

From Task Force Subcommittee on Revised AACR2 Entries

The Subcommittee to Examine Catalog Entries has examined LC lists of "Revised Headings for 1981" appearing in LC's Cataloging Service Bulletin no. 6, 7, 8. There are 662 entries to be examined in this list. All but about 60 have been examined at this time.

Each member of the committee carried the following agreed to procedures:

1. To search each entry on the pages assigned to us.

2. To measure, in inches, the total number of cards under an entry. (1 inch = 100 cards)

3. To count each separate representation of a title (not cards) and note by each entry the total number of main and added entries in the file; and note beside this figure the total number of subject entries in the file.

4. It has been suggested that we number each entry on each page. Then if we need to make special notes on the verso of the sheet we can refer to the entry number.

5. When searching, if a cross reference directs you to a different form of name, measure it and note on verso of sheet the form now used by Brown.

6. If any of these entries have already been changed or match the revised entry, so note.

7. If an entry has already been split into two or more different forms of entry, measure each part and note measurement for each form.

8. If our present entry differs from the entry in the left hand column note what we use.

9. We will search in the Rockefeller catalog only at this time. Later searches will be done in other catalogs.

The amount of time to undertake this task ranged from 2-4 hours per page. We estimate the total task of examination, when completed, will have taken approximately 100 hours. Due to the size of the file under some entries and the time constraints on the subcommittee members some large files, such as New York, India, etc. were measured for total size only.

The subcommittee members met August 19 to start analyzing its findings. We consider our task is to make recommendations on the treatment of form of entries requiring change as a result of AACR2. Though the lists that LC has issued are by no means complete we feel they are representative of the kinds of changes with which we will have to deal. We also found that approximately

7% of the entries in these lists do not exist in the Rockefeller Catalog.

The subcommittee members identified five basic forms of entry changes:

1. Entries where geographic name is no longer the first word of the entry for corporate names. Example: Wisconsin. University will become, under AACR2, University of Wisconsin.

2. Personal names.
   a. Personal names will be shorter than form now used. Example: Moliere, Jean Baptiste Poquelin, 1622-1673 will become Moliere, 1622-1673.

   b. Personal names of authors who use forename initials, such as Eliot, Thomas Stearns, 1888-1965 will become Eliot, T.S. (Thomas Stearns), 1888-1965.

   c. Persons who consistently use a pseudonym will be entered under pseudonym. Example: Clemens, Samuel will become Twain, Mark.

   d. Persons who use multiple pseudonyms for different types of material will be entered under the pseudonym used for each work. John Creasy is an example.

3. Geographic names will be followed by a qualifier in parentheses representing the next higher geographical body. Example: Athens will become Athens (Greece).

4. The order of titles in a personal name will change. Example: Peter, Saint, Apostle will become Peter, the Apostle, Saint.

5. Entries will change to more accurately represent a corporate body or to give preference to the English language form of the name. Examples: a. London, Science Museum will become Great Britain, Science Museum. b. Vergelius Maro, Publius will become Virgil.

The subcommittee members began the task of analyzing each entry on the lists. To do this the following definitions were agreed to:

1. Entry requires change and new entries can be interfiled.
2. Entry requires change and cannot be interfiled.
3. Entries are semi-compatible but could probably be interfiled.

The following codes were decided upon to identify each entry:

C =change
I =interfile without change
IM =interfile with insertion or deletion in ink
S =split file
N =do not change - use Brown form of name

The attached three pages are our decisions on the entries listed. One of the symbols listed above is placed in the left hand margin beside each entry. You will notice that we adopted an additional symbol CIM for all geographic names and for some entries with small files where it would be easier to change. The figures in the left hand column represent, reading left to right, the number of entries

(titles) that were main or added entries, subject entries, total cards in the file.

The subcommittee members agreed to the following principles for the implementation of AACR2. They will become part of the subcommittee's final report, but are presented here for your early information.

1. When added entries are changed, no attempt should be made to correct tracings or main entries.

2. When main entries are changed no attempt should be made to correct these main entries on any other card for that item, i.e., the main entry on added entry or subject cards will not be changed unless recataloging occurs at a later time, unless there is a serious discrepancy.

3. Entries will not be split.

4. Qualifiers will be added to entries when conflict in entries occurs.

5. Geographic corporate name entries with subdivisions which may at a later time, be entered under the name of the subdivision will be changed as they are identified by LC or by a new work in the collection. For example:

a. New York (City). Public Library will be changed to New York Public Library.
b. New York (City). Public Library. Berg Collection will be changed to Berg Collection.
c. Other subdivisions of New York (City). Public Library will be changed as they are identified by LC.

6. Regardless of cross references required by cataloging rules, a cross reference from the pre-AACR2 to the AACR2 form of entry will always be placed in the catalog.

7. Due to AACR2 and the RLIN cataloging standards, the subcommittee members agree that we should use LC form of name at all times, not the Brown form of a name.

It is important to understand that the work this subcommittee is doing is concerned with change of entry form resulting from AACR2. It has nothing to do with changes of names that have occurred in the past or may occur in the future.

This subcommittee will continue to analyze the remaining pages of the Cataloging Service Bulletins noted above as part of its final report. The final report will also include recommendations on procedures and timing for making recommended changes in form of entry and refiling of entries as necessary.

Subcommittee Members
Bonnie Buzzell
Rosemary Cullen
Barbara Gates
Maggie Horn
Lorraine Moore

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(332) RC 26-01 RD 32-37 RM 35-41

When the part lacks a title, retain the term with the number. Use the term found in the original edition (cf. 25.27A), but use English when the title of the main work is established in English. Use arabic numerals to record the number of the part.

Brahms, Johannes, 1833-1897.
[Ungarische Tänze. Nr. 5]

Handel, George Frideric, 1685-1759.
[Sonata, op. 1. No. 7]

Revised Headings for 1981

With this issue of the bulletin, we are beginning to publish the headings to be used after 1980 for those persons, bodies, and uniform titles used most often in the LC MARC bibliographic files. "Most often" is being defined as twenty-five or more occurrences of the heading.

In analyzing the files, for personal names and uniform titles used as headings, a match on the entire heading, exclusive of any relator terms (ill., ed., comp., etc.), constituted another usage. For corporate bodies entered directly under their own names, a match on the first element only was considered another usage; for corporate bodies entered under place, a match on the first element (place) and the first subdivision was considered another usage. The occurrences of names with accompanying uniform titles (name-title headings) are not counted.

For the lists published here, subordinately entered bodies will not in general be listed if there is no change in their forms. For example, although the current heading "Akademie van Wetenschappen, Amsterdam" will be revised to "Koninklijke Nederlandse Akademie van Wetenschappen," its subordinate unit "Afdeling Letterkunde" will continue to be entered subordinately in its existing form, and therefore, this subdivision will not be listed. Only if the subdivision itself will undergo a change will it be listed (cf. "American Society of Mechanical Engineers. Meeting").

Since the intellectual work in determining the post-1980 headings for the retrospective authority records is done only when the heading is needed in current cataloging, the published lists will each contain a wide variety of headings. By the time the last list is published, all of the most used headings that require revision should have been published.

	Current Heading	Post-1980 Heading			
IM	Accademia nazionale dei Lincei, Rome	Accademia nazionale dei Lincei	119	11	975
C	Acuerdo de Cartagena	Cartagena Agreement (1969)		3	3
C	Akademie der Wissenschaften, Berlin	Deutsche Akademie der Wissenschaften zu Berlin	995	15	785
C	Akademie van Wetenschappen, Amsterdam	Koninklijke Nederlandse Akademie van Wetenschappen	69	0	112
C	Alabama. Geological Survey	Geological Survey of Alabama	13	0	13
C	Alaska. University	University of Alaska (College)	45	0	62
C IM	Alvar López, Manuel	Alvar, Manuel, 1923-	30	0	37

	Current Heading	Post-1980 Heading
C	Ambrosius, Saint, Bp. of Milan	Ambrose, Saint, Bishop of Milan, d. 397
I	American Academy of Political and Social Science, Philadelphia	American Academy of Political and Social Science
I	American Museum of Natural History, New York	American Museum of Natural History
I	American Philosophical Society, Philadelphia	American Philosophical Society
	American Society of Mechanical Engineers. Fluids Engineering Division. Fluid Mechanics Committee	American Society of Mechanical Engineers. Fluid Mechanics Committee
	American Society of Mechanical Engineers. Meeting	American Society of Mechanical Engineers. Winter Meeting
IM	American University, Washington, D.C.	American University
I	Amon Carter Museum of Western Art, Fort Worth, Tex.	Amon Carter Museum of Western Art
CIM	Amsterdam	Amsterdam (Netherlands)
C	Amsterdam. Universiteit	Universiteit van Amsterdam
	Andersen (Arthur) and Company	Arthur Andersen & Co.
IM	Andersen, Hans Christian, 1805-1875	Andersen, H. C. (Hans Christian), 1805-1875
CIM	Ankara	Ankara (Turkey)
IM	Annunzio, Gabriele d', 1863-1938	D'Annunzio, Gabriele, 1863-1938
CIM	Antwerp	Antwerp (Belgium)
IM	Aristoteles	Aristotle
IM	Arizona. State University, Tempe	Arizona State University
C	Arkansas. Agricultural Experiment Station, Fayetteville	University of Arkansas. Agricultural Experiment Station
IM	Arkansas. Geological Commission	Arkansas Geological Commission
CIM	Athens	Athens (Greece)
CIM	Atlanta	Atlanta (Ga.)
IM	Automobile Association	Automobile Association (Great Britain)
	Automobile Association, Auckland, N. Z.	Automobile Association (N.Z.)

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Current Heading	Post-1980 Heading
Bancroft-Whitney Company, San Francisco	Bancroft-Whitney Company
C Battelle Memorial Institute, Columbus, Ohio. Pacific Northwest Laboratory, Richland, Wash.	Pacific Northwest Laboratory
IM Baudelaire, Charles Pierre, 1821-1867	Baudelaire, Charles, 1821-1867
C Beaconsfield, Benjamin Disraeli, 1st Earl of, 1804-1881	Disraeli, Benjamin, Earl of Beaconsfield, 1804-1881
C Beaumont, Cyril William, 1891-	Beaumont, Cyril W. (Cyril William), 1891-1976
Bender (Matthew) and Company, inc.	Matthew Bender (Firm)
C Bergen, Norway. Universitetet	Universitetet i Bergen
IM Bergson, Henri Louis, 1859-1941	Bergson, Henri, 1859-1941
C Beyle, Marie Henri, 1783-1842	Stendhal, 1783-1842
C Biochemical Society, London	Biochemical Society (Great Britain)
C Blavatsky, Helene Petrovna Hahn-Hahn, 1831-1892	Blavatsky, H. P. (Helena Petrovna), 1831-1891
Bloemfontein. University of the Orange Free State	University of the Orange Free State
? Boehm, David Alfred, 1914-	Masters, Robert V., 1914-
CIM Bogotá	Bogotá (Colombia)
IM Bosch, Hieronymus van Aken, known as, d. 1516	Bosch, Hieronymus, d. 1516
C Boston. Museum of Fine Arts	Museum of Fine Arts, Boston
IM Boston. Public Library	Boston Public Library
C Botticelli, Sandro, 1447?-1510	Botticelli, Sandro, 1444 or 5-1510
IM Brandeis University, Waltham, Mass.	Brandeis University
IM Brigham Young University, Provo, Utah	Brigham Young University
IM Brontë, Emily Jane, 1818-1848	Brontë, Emily, 1818-1848
CIM Brussels	Brussels (Belgium)
CIM Bucharest	Bucharest (Romania)
C Buck, Pearl Sydenstricker, 1892-1973	Buck, Pearl S. (Pearl Sydenstricker), 1892-1973
IM Bureau of National Affairs, Washington, D. C.	Bureau of National Affairs

UNIVERSITY OF WASHINGTON LIBRARIES

TASK FORCE ON AACR2

REPORT

August 15, 1980

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Gary Menges
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APPENDIX A
University of Washington Libraries
Bibliographic Control

ESTIMATE OF THE COST OF THREE WAYS OF INTEGRATING

THE AACR II CHANGES INTO THE EXISTING CATALOGS

September 24, 1979

At the Bibliographic Control/Public Services meeting on August 15, 1979, the discussion of the options for accommodating the changes resulting from AACR2 seemed to indicate that the practical option would be continuing the existing public catalogs and integrating the changes into them. We have, therefore, prepared an estimate of the cost of three ways of integrating the changes.

DATA USED

In order to determine the number of entries and cards which would need to be changed as the result of the implementation of AACR-2, a sample of 600 cards was taken from the main catalog. The sample shows that there were:

131	title cards	22%
211	topical subject cards	35%
258	names	43%

It is in the names that the AACR II changes will be seen. The 258 names in the sample divided as follows:

180	require no change		70%
50	require change but may be interfiled*		19%
	8 have files larger than 100 cards	(16%)	
	2 have files of 50-100 cards	(4%)	
	40 have files of less than 50 cards	(80%)	
28	require major change**		11%
	8 have files larger than 100 cards	(29%)	
	4 have files of 50-100 cards	(14%)	
	16 have files of less than 50 cards	(57%)	

*These names were such that the old and new forms could be interfiled, because they were primarily names which had varying degrees of fullness or some relatively minor format change. With personal names, main and added entries were about equal, while with corporate names, main entries were twice as numerous as added entries.

**These were changes such as Washington (State) University to University of Washington. With personal names, main and added entries were about equal, but with corporate names added entires were five times as numerous as main entries. An additional complication with corporate names is that many bodies which were formerly subordinate will become main entries. These will need to be identified and appropriate references made. It was also found that nearly half of the major changes involved changes of serial main entries.

If one assumes that (a) the catalog entries for the material currently being added follow the same pattern as those now in the catalog, (b) we will catalog 59,000 items each year (the number cataloged in 1978-79), and (c) each item cataloged will have 1.6 name entry associated with it, then the total possible number of unique name entries requiring change in the first year is 28,320 (30% of 94,400). Of this total, 17,936 (19% of 94,400) will be of a type such that the old and new forms may be interfiled; whereas, 10,384 (11% of 94,400) will not be able to be interfiled.

For the purpose of preparing this estimate, one further assumption was made: in those instances where the main entry for an existing set of cards is to be changed, only the main entry card itself will be changed - the main entry on the rest of the cards in the set will be left with the old form of the name.

PROCEDURES

Existing entries will be changed only when a new card with a changed entry is received.

The procedure for making the changes that may be interfiled would be as follows:

1. Change authority record to new form.
2. Determine which catalogs have used the name.
3. Attach to the new cards instructions to interfile them with the cards having the old form of entry.
4. Refile old cards in all catalogs.
5. Make see references from old to new form for all catalogs.
6. Change authority record for traced cards.

For those records which cannot be interfiled the following steps would need to be taken:

1. Change authority record to new form.
2. Determine which catalogs have used the name, including each subdivision.
3. Make appropriate cross reference for all catalogs and file them.
4. Pull cards that are to have heading changes, make changes, refile the cards (in official catalog, main catalog, and branch catalogs).
5. Change authority record for traced cards.

While the general outline of the process of changing existing cards is clear, there are many questions, the answers to which will greatly affect the ease with which the work is done:

1. Will LC's name authority file be available in machine readable form?
2. Will LC publish a list of changed entries prior to January 1981?

3. Will OCLC be able to automatically supply the new form of entry for records already in the data base?

4. How many changed entries will be received and at what rate will they appear?

COST ESTIMATE

In figuring the cost of three options (see the table below), no allowance was made for the fact that some of the name entries used for newly cataloged materials will repeat themselves in the course of one year.

HOURS REQUIRED FOR ACCOMMODATING THE AACR II CHANGES WITHIN THE EXISTING CATALOGS

		OPTION A Change all cards with affected headings in existings cats (assume ave. of 30 cards/file). No. of unique entries to change = 28,320 Total of existing cards requiring change = 849,600	OPTION B Change only cards with headings affected in a major way in existing cats (assume ave. of 30 cards/file). No. of unique entries to change = 10,384 Total of existing cards requiring change = 311,520	OPTION C Change only cards with headings affected in a major way and with files of less than 50 cards in existing catalogs (assume ave. of 15 cards/file). No. of unique entries to change = 5,919 Total of existing card requiring change = 88,783
I.	Pull cards; change headings; refile cards	9,062 (13,593)*	3,323 (4,985)*	1,006 (1,509)*
II.	Change tracing on main entry in official catalog	15,576	5,711	1,627
III.	Type and file cross references.	519	519	519
IV.	Type and file authority cards	519	519	519
	TOTAL HOURS:	25,676 (30,207)*	10,072 (11,734)*	3,671 (4,174)*
	STAFF FTE:	12.3 (14.5)*	4.8 (5.6)*	1.8 (2.0)*

*All of the estimates are for the time required to effect the changes only in the main catalog and the Official Catalog except for those figures in parentheses, which include an estimate of the time required for the other catalogs as well.

APPENDIX B

University of Washington Libraries
Bibliographic Control

AACR2 TIME STUDIES

Two studies were done by the Bibliographic Records Management and Serials Divisions to determine the time required to convert existing files of name headings to the AACR2 form.

STUDY NO. 1

April 1980

Name change: Georgia University to University of Georgia (AACR2:24.17)

The changes were made through the issuance of replacement cards from OCLC.

The total time required to complete the change was 90.25 hours. This includes 38 hours from the Serials Division and 50.50 hours from Bibliographic Records Management Division.

BIBLIOGRAPHIC RECORDS MANAGEMENT DIVISION

Monographic titles in sample: 115

Activity	Hours
1. Pull OC, check shelf list for copy numbers, check location file	6.5
2. Check OCLC for copy and print record if found (110)	3.5
3. Editing and tagging	
110 printouts	6.5
5 tagged for input	1.0
4. Input and card ordering	
110 printouts	5.0
5 full inputs	1.0
5. Authority work	15.0
6. Card processing and filing including cards from Serials Division (estimate)	12.0
TOTAL	50.50

SERIALS DIVISION

Serial titles in sample: 35

Upgraded OCLC records:	21
Input of LC cataloging:	1
Original cataloging:	10
Cancelled added entry:	2
Cat as sep STO:	1

Activity	Hours
Review/analysis of records	2 2/12
Retrieve material from stacks	1 2/12
Search OCLC	2 2/12
Authority work (online and manual)	7
Search NUC	2 4/12
Pull cards (MAIN, CSR)	1 4/12
Cataloging/tagging	16 1/12
Inputing (OCLC)	3 8/12
Card ordering	1
Typing (notices for branches, Lib. 138s, correcting shelf lists, etc.)	1 1/2
TOTAL	38

Notes

1. Older, little-used materials proved most difficult.

2. Choice of entry presents a problem for series which are traced and currently published.

3. Materials which are "classified for shelves" should be reviewed for retention by selectors before extensive recataloging.

4. If decision is to redo all card sets for changes in entry, problem of inputing non-affected headings on OCLC must be dealt with as well as upgrading for choice of entry and for description.

5. Successive-title cataloging results in more records than the original 35.

APPENDIX B (cont.)

STUDY NO. 2
May 1980

Name change: United States. National Gallery of Art to National Gallery of Art (U.S.)

The changes were made manually, except where noted otherwise.

The total time required to make the change was 52 hours. The sample included 125 titles in the Main Catalog and 126 titles located in three branch catalogs. All traced cards were corrected and cards reflied when main changes were made.

Activity	Hours	(If no added entry tracings are changed at the foot of the cards)
Official catalog card	3.00	3.00
Shelf list	1.50	1.50
Authority work	2.50	2.50
Main catalog cards (including typing)	19.75	17.00 (est.)
Serials (3)	.50	.50
Replacement cards for four (4) titles because of entry changes	1.00	1.00
11 records need to be updated as they were already cataloged on OCLC	1.50	1.50
126 cards located in 3 branch catalogs (Art, Arch., OUGL)	20.00 (est.)	18.00 (est.)
Miscellaneous problems	2.25	2.25
TOTAL	52.00	47.25

APPENDIX B (cont.)

CONCLUSION

For the purpose of the Report it was decided to calculate the time expended per title on the data from Study No. 2 based on not correcting the tracings for added entries at the foot of the cards.

The total time required for changing the file (47.25 hours) divided by the number of titles (125) equals the time expended per title, or 0.38 hours.

APPENDIX C

University of Washington Libraries
Bibliographic Control

CALCULATIONS USED TO DETERMINE STAFF REQUIRED TO CHANGE EXISTING CARDS TO CONFORM TO AACR2

For the purpose of these calculations the following assumptions were made:

1. Fifty-nine thousand (59,000) titles will be cataloged per year (the number of non-serial titles cataloged in 1978-79*).

2. Each title cataloged has an average of 1.6 name entries associated with it. This is the best estimate of the Head of the Original Cataloging Division.

3. Eleven percent of the name entries used in cataloging new materials will require major change in form under AACR2. This figure is drawn from p. 1 of the report included here as Appendix A.

4. Since the percent of names used more than once is not known, it is assumed for the purpose of these calculations that none is used more than once.

5. Of the name entries used in cataloging, 39% are personal. (The 258 names examined for the report appearing here as Appendix A were 39% personal. This fact is not noted in Appendix A.)

6. Of the personal name headings requiring major change, 52% will already have been established in the Libraries' catalogs. (See Potter, p. 12).

7. There is an average of 9.4 entries in the catalog per established personal name. (See Potter, p. 15).

8. The average time required to change one card set is 0.38 hours. (See Appendix B).

Calculations

The number of name entries that will be used in 1981 =

number of titles cataloged x name entries per title =

59,000 x 1.6 = 94,400

Number of name entries that will require major change in 1981 =

total number of name entries used x 11% =

94,400 x 0.11 = 10,384

Number of "major change" name entries that are personal names =

major change entries x proportion of personal names to the total number of names =

10,384 x 0.39 = 4,050

*The number of non-serial titles cataloged in 1979-80 was abnormally high because of the concerted effort made to catalog some arrearages. Thus the 1978-79 figure was used for these calculations.

Number of "major change personal names" that had been already established in the Libraries' catalogs =

major change personal names x % already established =

4,050 x 0.52 = 2,106

Thus, there will be 2,106 personal names with existing files needing major change if they are to conform to AACR2.

The total number of card sets for personal names requiring change =

average number of entries per file x number of personal name files requiring change =

9.4 x 2,106 = 19,796

Hours required to make the changes =

number of card sets x hours per card set =

19,796 x 0.38 = 7,519

FTE staff required to make changes in existing files of personal name headings =

hours required to make the changes ÷ hours per FTE =

7,519 ÷ 2,080 = 3.6

Thus, a maximum of 3.6 FTE staff will be required to make the changes required by AACR2 in existing files of personal name headings in the first year of AACR2.

Since non-personal name headings are 1 1/2 times as numerous as personal name headings it is grossly estimated that it will take 1 1/2 more staff to make the changes required in the former than in the latter.

7-15-80

FROM:

Alternatives for Future Library Catalogs: A Cost Model. Final Report prepared for Association of Research Libraries.

7.1.4 Number of Unique Headings per Title

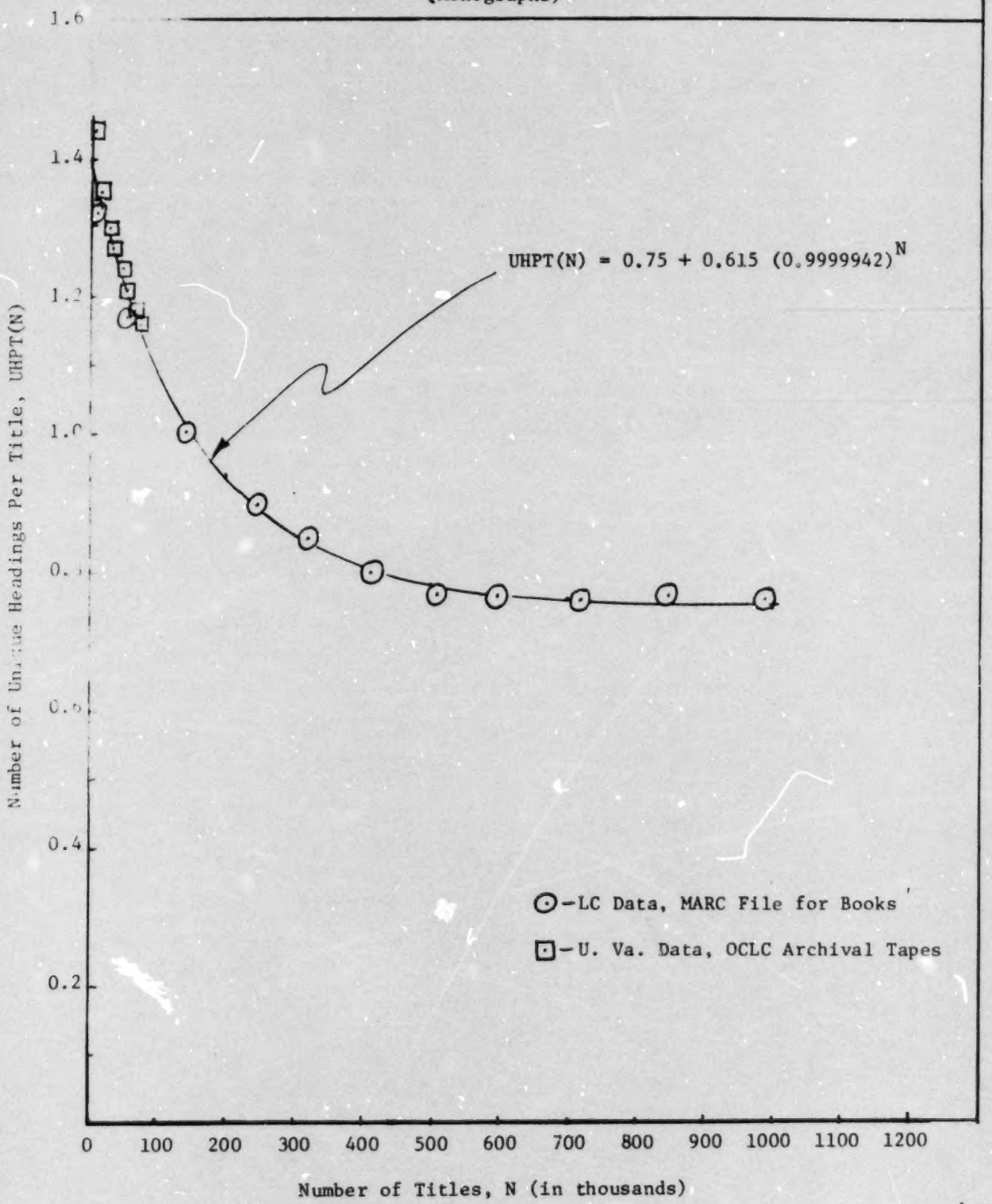
Since our primary purpose in considering headings is to determine the impact of AACR 2 on library catalog costs, our attention will be focused only on those headings affected by AACR 2, that is personal name, corporate name, uniform title, and series headings. Topical subject headings, for example, are excluded in our definition of headings.

The number of unique headings per title in a collection of N titles depends on the magnitude of N. One possible way of explaining this dependence is by considering the headings for a given title to be of two types: 1) common headings, i.e. those likely to overlap with headings assigned to other titles; 2) uncommon headings, i.e. those not likely to overlap with headings assigned to other titles. (An example of a heading of the second type is an author who publishes a single title during his lifetime and who is not the subject of the writings of others.) The number of unique headings consists of contributions from common headings plus uncommon headings. For small values of N there is relatively little overlap in headings, so that there are many common headings unique to the file as well as uncommon ones. As N increases, the number of unique uncommon headings increases proportionally with N. However the number of common headings unique in the file increases less than proportionally with N due to overlap. For extremely large values of N, the contribution of common headings to unique headings becomes negligible, leaving only the contribution of uncommon headings. The corresponding behavior of the number of unique headings per title follows this pattern. For small values of N, the number of unique headings per title is the sum of the contributions of both common and uncommon headings per title. As N increases, common headings contribute fewer unique headings and the number of unique headings per title falls, ultimately reaching a number approximately equal to the number of uncommon headings per title.

Figure 7.1 shows the behavior of the number of unique headings per title as a function of the number of titles included in the collection based on data from two sources, the Library of Congress and the University of Virginia Library. The LC data were derived from the MARC file for books by Sally H. McCallum of LC's Network Development Office. The values of N plotted on Figure 7.1 for LC equal the number of titles in the MARC file for books at the end of the years 1968 through 1978. The corresponding values of the number of unique headings per title were obtained by dividing the number of unique headings by the number of titles. Included in these headings are personal names, corporate names, conference names, and uniform titles, when appearing as either added entries or as subjects in MARC records. The complete corporate headings were compared, including entry elements and all lower level units in the corporate hierarchy. Subject subdivisions appearing in name headings were dropped before determination of uniqueness. The University of Virginia Library data were derived from OCLC archival tapes by David T. Buxton, Automation Librarian. These tapes contained bibliographic records for 70,000 titles and therefore are limited to values of N of 70,000 and less.

FIGURE 7.1
NUMBER OF UNIQUE HEADINGS PER TITLE
IN A COLLECTION OF N TITLES

(Monographs)



113

The solid line in Figure 7.1 approximates the data from both LC and University of Virginia. This line can be described mathematically by the following equation*: $UHPT(I,N) = 0.75 + 0.615 \cdot (0.9999942)^N$. More generally we may write:

$$(23) \quad UHPT(I,N) = A(I) + B(I) \cdot Q(I)^N$$

where, in view of the above discussion concerning common and uncommon headings, A(I), B(I) and Q(I) may be given the following interpretations:

A(I) = the expected number of uncommon headings per title of class I

B(I) = the expected number of common headings per title of class I

Q(I) = the probability that when a new title is added to a collection of class I titles, its common headings have not yet occurred in the previous set of headings.

Table 7.1 presents the values of A(I), B(I) and Q(I) used in the Library Catalog Cost Model for various classes of titles. For monographs (I=1) the values correspond to Figure 7.1, increased by six percent. This six percent adjustment reflects the fact that series headings (which account for approximately six percent of the headings) were excluded from the LC data used to construct Figure 7.1. For serials (I=2) values of A(2) and B(2) were set equal to 0.7 times A(1) and B(1), respectively. These adjustments reflect the fact that, on the average, serial titles have approximately 70 percent as many headings per title as do monograph titles. For other classes of titles, it was assumed that the monograph values applied. Additional research is required to improve the accuracy of the parameters in Table 7.1, particularly for the non-monographs.

Table 7.1

VALUES OF PARAMETERS IN EQUATION 23

I	Class of Titles	A(I)	B(I)	Q(I)
1.	Monographs	0.795	0.652	0.9999942
2.	Serials	0.5565	0.4564	0.9999942
3.	Other	0.795	0.652	0.9999942
4.	One class	0.795	0.652	0.9999942

*This equation is based on the observation that log (UHPT(1,N) - 0.75) when plotted against N fits a straight line. The slope and intercept of this straight line were estimated to be log0.9999942 and log0.615, respectively. Semilog paper is particularly convenient for making those estimates.

The development of Equation 23 was a key step in the construction of the cost model. The reason for this is that all the participating libraries were able to furnish data concerning the numbers of titles of a given class, but few were able to furnish adequate data concerning the number of headings. Equation 23 permits one to estimate the number of unique headings from the associated number of titles. In those few instances where individual libraries had adequate information on headings library values were used instead of Equation 23.

7.1.5 Number of New Headings and Total Headings in the Library

The total number of headings in the library on January 1, 1981 HT(I,0) depends on the number of titles in the library on January 1, 1981, TT1(I), and may be estimated by multiplying the number of titles by the corresponding value of the number of unique headings per title:

(24) $HT(I, 0) = TT1(I) \cdot UHPT(I, TT1(I))$

By similar reasoning, the total number of headings on June 30 of year Y is given by:

(25) $HT(I,Y) = TT(I, Y) \cdot UHPT(I, TT(I,Y)), \quad Y = 1, 2, 3, 4, 5$

The number of new headings added to the library during fiscal year Y and after January 1, 1981 is the difference between the number of headings at the end of year Y and the end of year Y-1:

(26) $HN(I, Y) = HT(I, Y) - HT(I, Y - 1), \quad Y = 1, 2, 3, 4, 5$

The total number of headings of titles of all classes appears in the output and is given by:

(27) $$OHT(Y) = \sum_{I=1}^{NCT} HT(I, Y), \quad Y = 1, 2, 3, 4, 5$$

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